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ABSTRACT

This study was made to determine the need for a cooperative approach to planning services in Santa Clara County, and should such a need exist, to determine appropriate organizational and government structures, suggested objectives and activities, and suitable resource allocations to achieve the suggested objectives. The resulting position paper presents the thesis that a county (or regional) organization can be the source of valuable, coordinated assistance to citizens who address their attention to the future of their community. Such a center could provide data from many sources, assembled in a common and useful format. It could provide a means for interested persons to have an impact on decisionmaking bodies within the community, and could promote coordinated planning among school districts, leading to better solutions to all their future problems. An organizational pattern and a description of functions for a planning center are outlined. A short bibliography is included. (Pages 58-60 may reproduce poorly.) (Author/MLF)

ED 091809

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A MULTI-AGENCY CENTER FOR EDUCATIONAL PLANNING IN SANTA CLARA COUNTY

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EA 006 152

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PROJECT SIMU-SCHOOL

ED 091809

A MULTI-AGENCY CENTER FOR EDUCATIONAL PLANNING IN SANTA CLARA COUNTY

RESEARCH REPORT NUMBER SIX

OF

PROJECT SIMU SCHOOL: SANTA CLARA COUNTY COMPONENT

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FOREWORD

Project Simu School was initiated to consider ways of improving and simplifying the process of educational facilities planning for the educational planner. The initial intent was to develop a highly sophisticated simulation capability through a national coordinating center for educational planning, but work early in the project suggested that a single large scale simulation procedure was not feasible and that facilities planning could not thus be separated from overall educational planning. The Simu School Project accordingly decided to develop planning procedures and techniques to aid the local educational planner and/or consultant.

The approach of the present project is to consider educational planning as an integrated process in which the facility becomes an integral part of the evolving education program and the teaching-learning situation. The products or output of the project, therefore, must be aimed at the total process of educational planning and the procedures and methodologies which comprise it. The final products will be applied by the local educational planning body, the educational system, or members of the community to develop a program of educational services.

Educational planning under these constraints is an interactive process between the components of the local community. The potential user of planning products ranges from the untrained to the highly trained, and the planning products from very specific tools for specific needs to general planning methodologies and strategies. Project Simu School, therefore, is responding to the broadest possible spectrum of the needs of various levels of educational planning as well as to the actual range of individuals who may be involved in the process.

Many of the administrators of school districts in Santa Clara County, California, as well as in other states request assistance from various agencies when they begin looking at the future population, school enrollments, and physical facility needs in the districts. Frequently, sources of information which can provide a basis for rational planning for the future are unknown or if available, can provide only portions of the data desired. At times, data which can be meaningful to the community in which the school functions are not recognized as being useful.

One objective of Project Simu School: Santa Clara County Component is to promote the formation of a center for educational planning which will pool the expertise in planning which exists in many agencies into a cohesive and potent aid to planners. This position paper presents the thesis that a county (or regional) organization can be the source of valuable, coordinated assistance to citizens who address their attention to the future of their community. Such a center can provide data from many sources, assembled in a common and useful format. It can provide a means for interested persons to have an impact on decision-making bodies

within the community, and it can promote coordinated planning among school districts, leading to better solutions to the future problems of all of them.

Dr. Don E. Halverson, the author of this paper, is Associate Superintendent, Planning, San Mateo County, California. His experience in organizing the planning activities within the San Mateo County Office of Education, and his service as a consultant to school districts, provide a valuable perspective from which he proposes an organizational pattern and description of functions for a planning center.

Establishment of a Multi-Agency Center for Educational Planning is now being studied in Santa Clara County. It is anticipated that this center will become a permanent function of the County Office of Education and other participating agencies and will continue to function as a component of Project Simu School.

Lester W. Hunt, Director
Project Simu School: Santa Clara
County Component

The project presented or reported herein was performed pursuant to a grant from the U.S. Office of Education, Department of Health, Education and Welfare. However, the opinions expressed herein do not necessarily reflect the position or policy of the U.S. Office of Education, and no official endorsement by the U.S. Office of Education should be inferred.

INTRODUCTION

Santa Clara County is a county deeply involved in change. Located south and east of San Francisco, it extends from the city of Palo Alto on the north to Gilroy on the south and from Stanislaus and Merced Counties on the east to the Santa Cruz Mountains on the west. Its diversity is startling. It includes farm land and industry, inner city barrios and wealthy suburban communities; and most startling of all, the rate of immigration to the county is one of the highest in the nation, resulting in massive change, dislocation, and cultural interaction.

It is not unexpected, therefore, to witness an overriding concern for effective planning--planning which will coordinate the county's efforts in land usage, zoning, housing, and the social needs, together with the planning of various cities involved in the same considerations, plus school districts' needs to select sites, build schools and develop programs for its changing population.

It is with this backdrop in mind that this study was launched. The need is great, the time is short, and the present is pushing us inexorably into the future, be it planned or unplanned.

1.0 Need for the Study

The current tri-level organizational structure for the State school system in California (Local District-County Intermediate Unit - State Department) was last restructured during the late 1940's for the social and educational needs of the times. The system has generally functioned adequately; however, the emerging educational needs of children dictated by changes in life styles, values, and modes of communication, plus the rapid development of technology supporting school services (e.g., data processing), along with the public's insistence upon accountability and efficiency of operation demand constructive changes in the system. A very recent example is the requirement in the Early Childhood Education Act for a needs assessment and a restructuring of programs for grades kindergarten through three. Other examples include requirements for District Master Plans as a condition of receiving federal funds and participating in some categorical-funded state programs.

Proposals designed to assure either the continuance of, or the substantive alteration of, the State organizational structure are regularly advanced from many quarters. Change proposals have usually been directed toward only one segment or level of the State structure without a realistic concern for the impact of the change on the other levels in the system. Proposals have also been limited to a restructuring of the educational organization with little regard to other governmental units with which it interfaces.

From the late 1940's to the present, the State Department of Education has undergone some degree of reorganization each time a newly-elected Superintendent of Public Instruction has taken office. Until recently, these organizational changes have maintained a centralized pattern for delivery of services. However, in recent years the impact of federal funding has caused the State Department to change its service patterns, sometimes creating regional functions which duplicate the services provided by the county office.

The structure of local school districts has also changed radically since the 1940's in regard to both size and scope of operation. It is probable that most districts that are going to unify are now unified and it is probably equally safe to assume that the remaining non-unified districts will not unify except by mandate. Perhaps some consideration needs to be given to other types of organizational patterns for local districts. The concept of a district, regardless of size, being totally self-reliant in respect to operations and resources needs to be examined. Consideration needs to be given to the operational efficiency and cost effectiveness of districts using State school funds to duplicate expensive,

basic services. There is a need for all districts, regardless of size, to look to other districts (or a consortium of districts), the intermediate level, and/or the State to provide certain essential services in a more efficient and effective manner.

The Office of County Superintendent, referred to as the Intermediate Unit in the state's educational structure, has been provided under Article IX, Section 3 of the Constitution as a part of the educational system since 1852.

This office was established primarily to coordinate activities between school districts within a county as well as with the State Department of Education. The number of school districts in the state grew from 227 in 1855 to an all-time high of 3,717 school districts in 1915. Presently, as a result of unification, they number less than 1,100.

Most county offices of education have significantly changed their patterns of service since the 1940's due to the changing needs of districts. County offices are voluntarily merging some of their services for regional operations. However, the "county line" concept for the Intermediate Unit serves as a deterrent in effecting other service mergers.

In addition, the limiting of studies to the County Superintendents' Offices without regard to other county services has kept people from seeing the need to combine agency services for economy and greater effectiveness.

2.0 Purpose of the Study

(1) To determine the need for a cooperative approach to planning services in Santa Clara County. If a rationale can be established for such a cooperative approach, (2) to then determine appropriate organizational and government structures, suggested objectives and activities, and suitable resource allocations to achieve the suggested objectives.

3.0 Assumptions Underlying the Study

A. The current levels of government (city, county, etc.) will persist, with changes in function taking place to meet changes in social needs.

B. The tri-level educational system in California will persist, with appropriate function changes to meet changing social needs.

C. Nonetheless, the trend toward regionalization will continue; that is, groupings or consortia of districts and joint powers agreements to

jointly achieve what cannot be accomplished individually.

D. As the state increases in population, and society and technology increase in complexity, the county offices of education will continue to be assigned additional responsibilities from both the district and the state levels of government.

E. As funds allocated to education continue to tighten and the demand for "accountability" for such funds continues to prevail, the need will grow for systematic planning based on more complete data.

F. As planning needs increase, the obvious overlap of various planning services will not be tolerated, thus calling for more cooperation and joint planning.

4.0 Basic Study Plan and Process Plan

The Basic Study Plan and Process Plan are set forth in flowblock diagram form for easy understanding.

Six major elements of the study are:

1. Review of research studies, especially those dealing with planning as a function of the County Office of Education.
2. Personal interviews with personnel of agencies seen as prospective "customers" of a planning center.
3. Review of background and present planning services of the Santa Clara County Office of Education.
4. Review of multi-agency aspects of planning.
5. Conceptualization of an organizational framework to facilitate the planning functions of a multi-agency planning center.
6. Presentation of the major elements of the study to the Administrative Council of the Santa Clara County Office of Education and the Dean of the School of Education, San Jose State University, and discussion with them. These discussions, unique in such a study as this, were a major factor in developing the ideas in sections 14.4, Anticipated Consequences of Alternatives #1 and #2, and 14.5, Special Considerations.

Special Note: The following terms have specialized meanings as used in this study and should be so understood:

Goal: A statement of broad direction or intent which is general and timeless and is not concerned with a particular achievement within a specified time period.

Objective: An accomplishment that can be verified within a given time and under specifiable conditions and which, if attained, advances the system toward a corresponding goal.

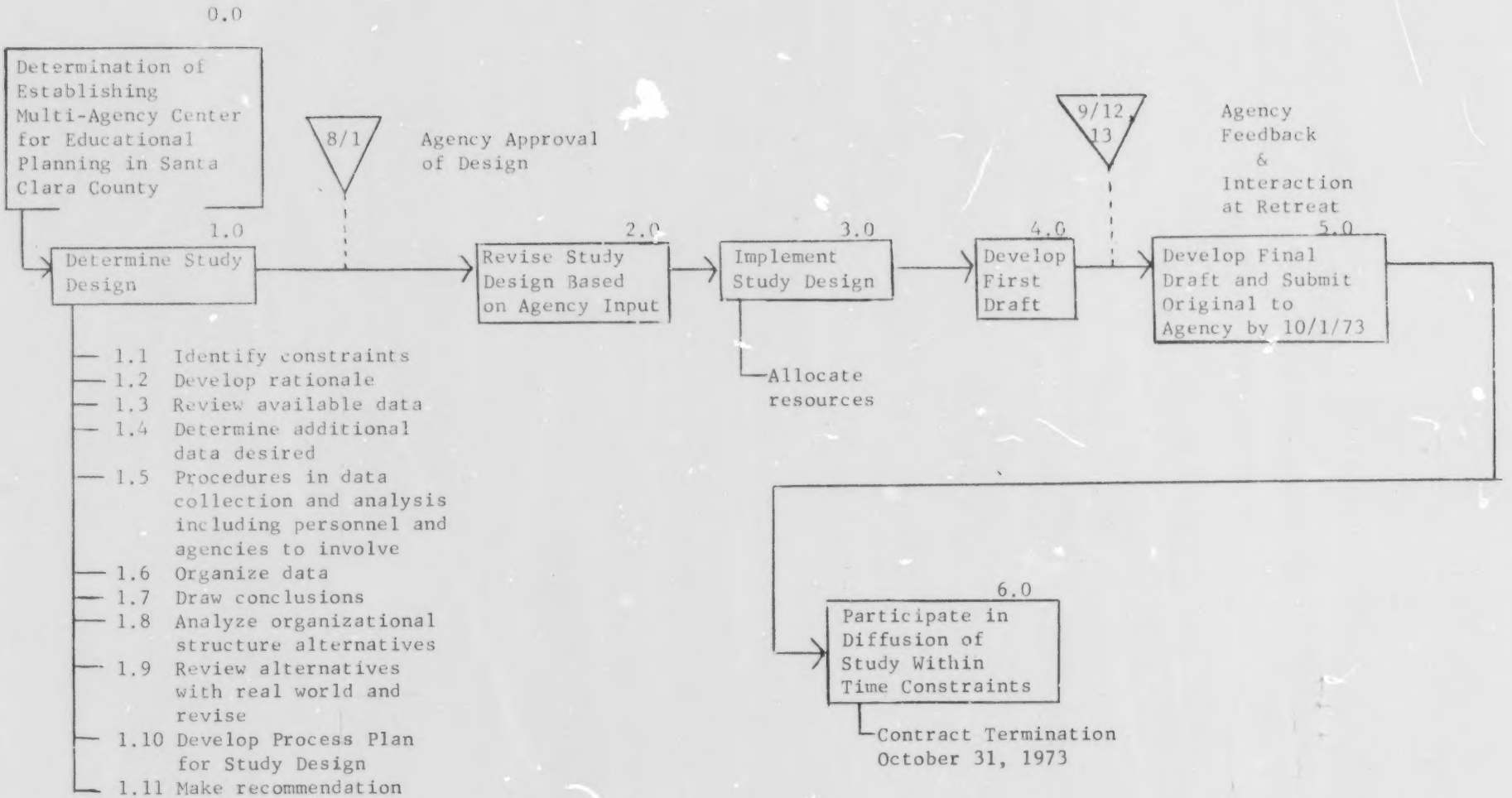
Needs.Assessment: A process of obtaining and analyzing information about needs to help a decision maker make better decisions.

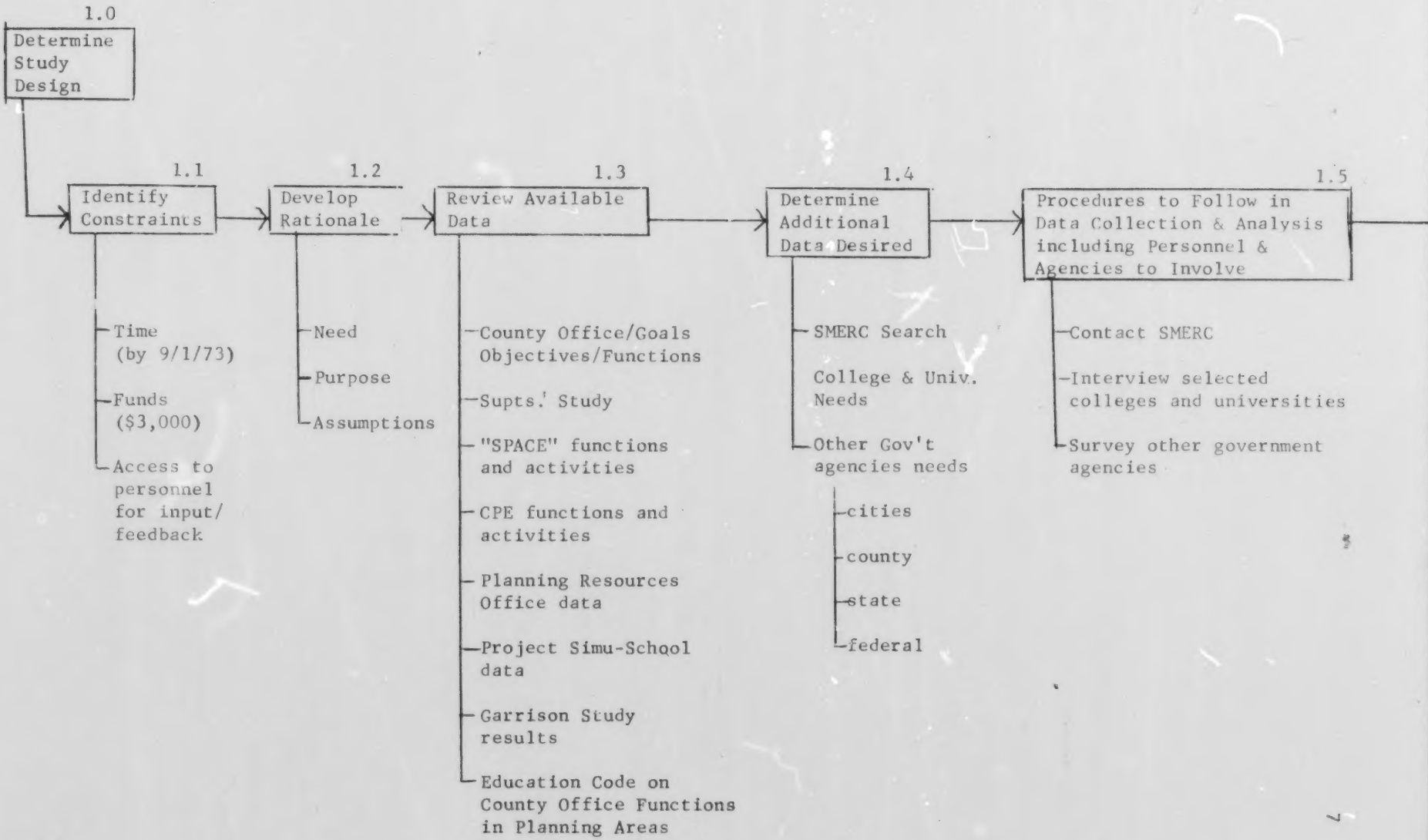
Need: The difference between "what is" and what "cught to be"

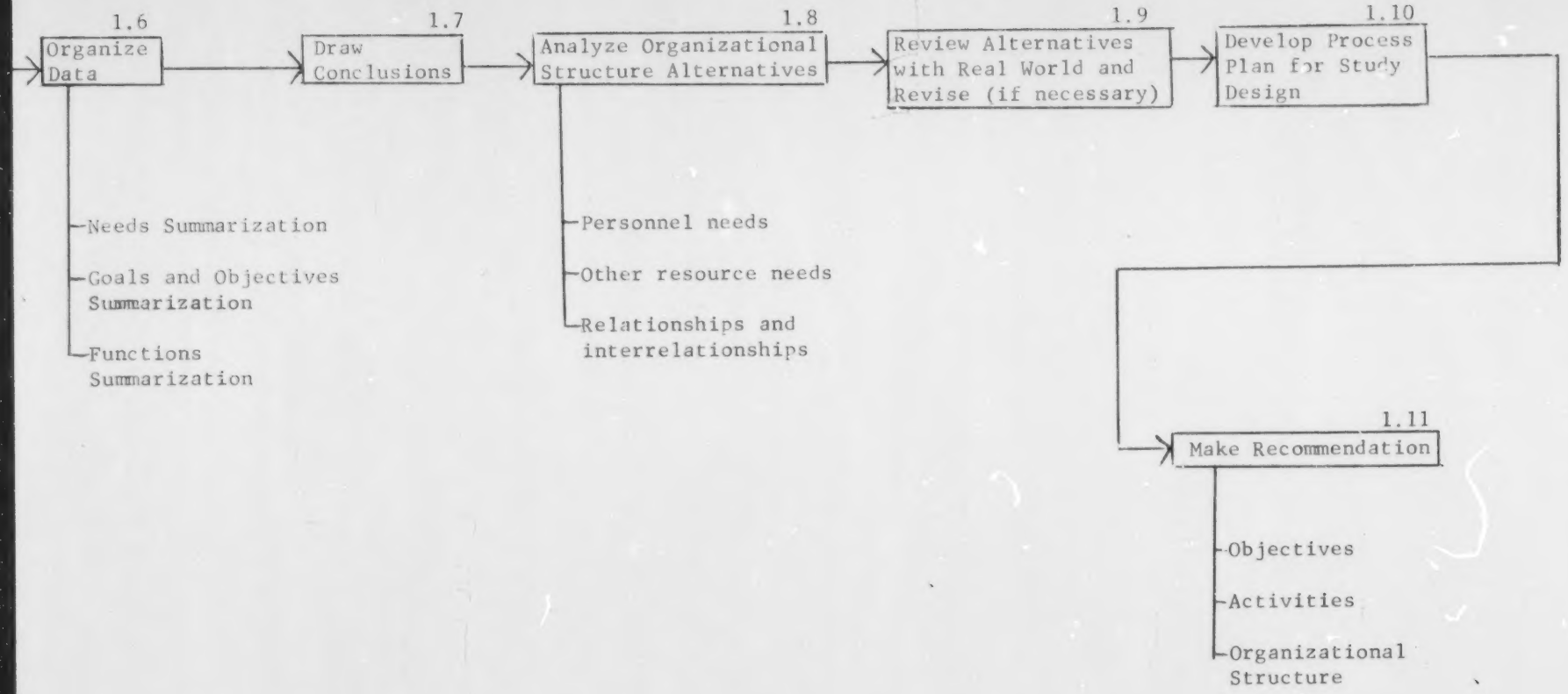
or

The difference between the present condition and the objective to be attained.

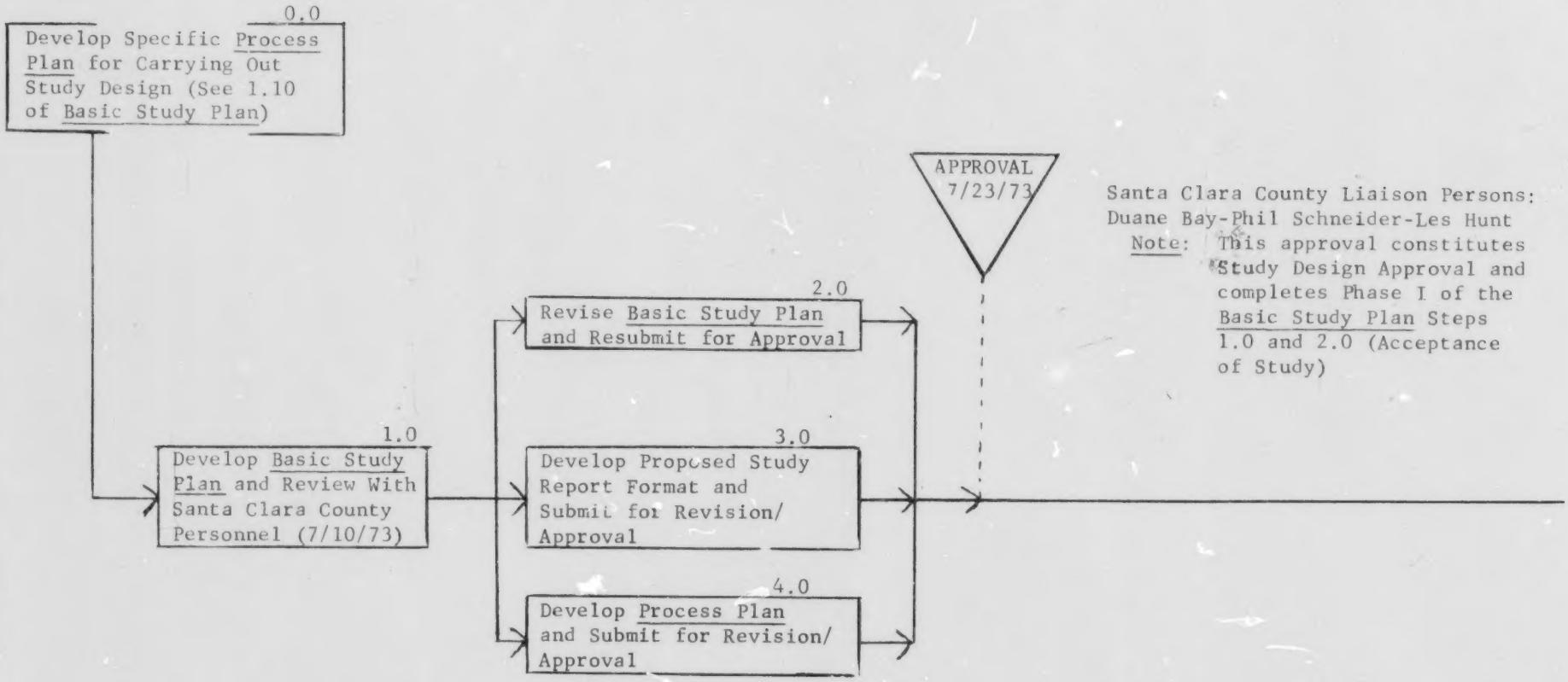
BASIC STUDY PLAN - Revised 7/10/73

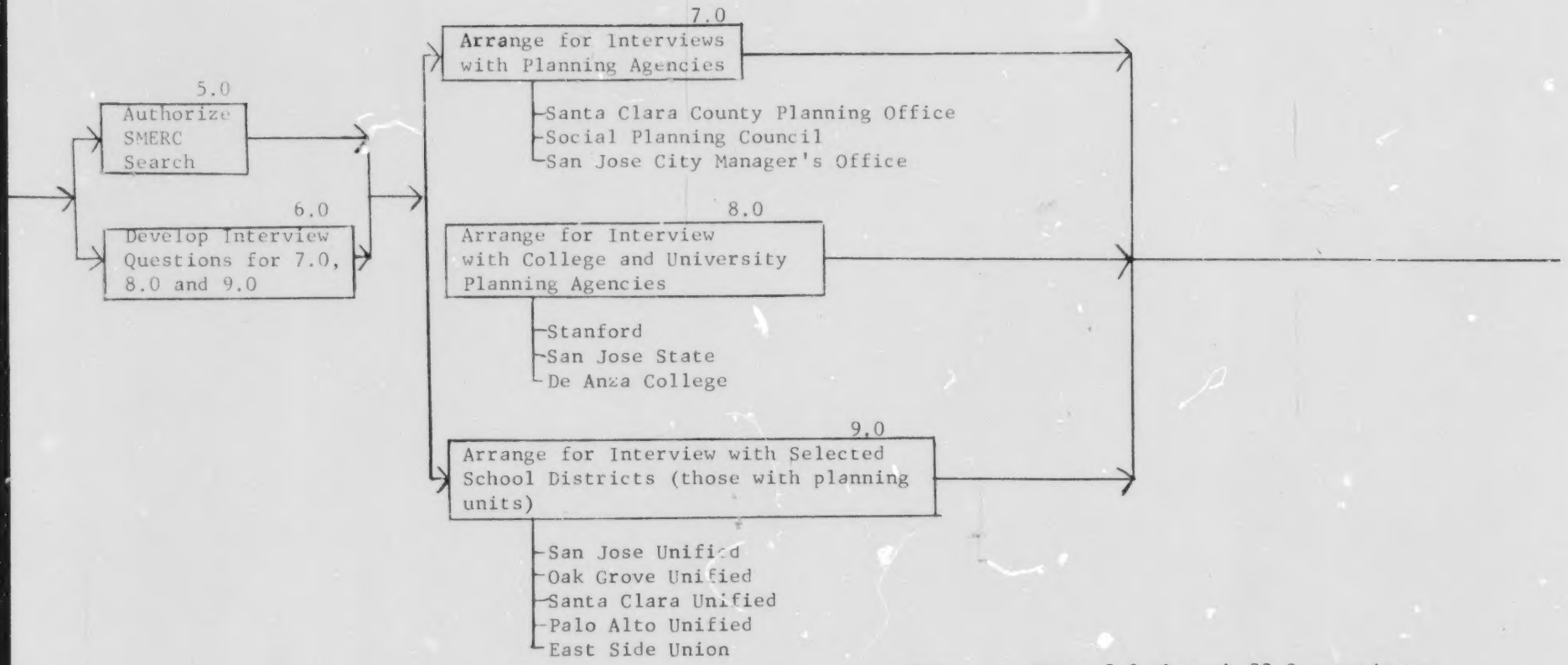

0.0
Determination of Establishing Multi-Agency Center for Educational Planning in Santa Clara County
8/1
Agency Approval of Design
1.0
Determine Study Design
2.0
Revise Study Design Based on Agency Input
3.0
Implement Study Design
Allocate resources
4.0
Develop First Draft
9/12, 13
Agency Feedback & Interaction at Retreat
5.0
Develop Final Draft and Submit Original to Agency by 10/1/73
1.1 Identify constraints
1.2 Develop rationale
1.3 Review available data
1.4 Determine additional data desired
1.5 Procedures in data collection and analysis including personnel and agencies to involve
1.6 Organize data
1.7 Draw conclusions
1.8 Analyze organizational structure alternatives
1.9 Review alternatives with real world and revise
1.10 Develop Process Plan for Study Design
1.11 Make recommendation
6.0
Participate in Diffusion of Study Within Time Constraints
Contract Termination October 31, 1973


1.0
Determine Study Design
1.1
Identify Constraints
Time (by 9/1/73)
Funds ($3,000)
Access to personnel for input/ feedback
1.2
Develop Rationale
Need
Purpose
Assumptions
1.3
Review Available Data
County Office/Goals Objectives/Functions
Supts.' Study
"SPACE" functions and activities
CPE functions and activities
Planning Resources Office data
Project Simu-School data
Garrison Study results
Education Code on County Office Functions in Planning Areas
1.4
Determine Additional Data Desired
SMERC Search
College & Univ. Needs
Other Gov't agencies needs
cities
county
state
federal
1.5
Procedures to Follow in Data Collection & Analysis including Personnel & Agencies to Involve
Contact SMERC
Interview selected colleges and universities
Survey other government agencies

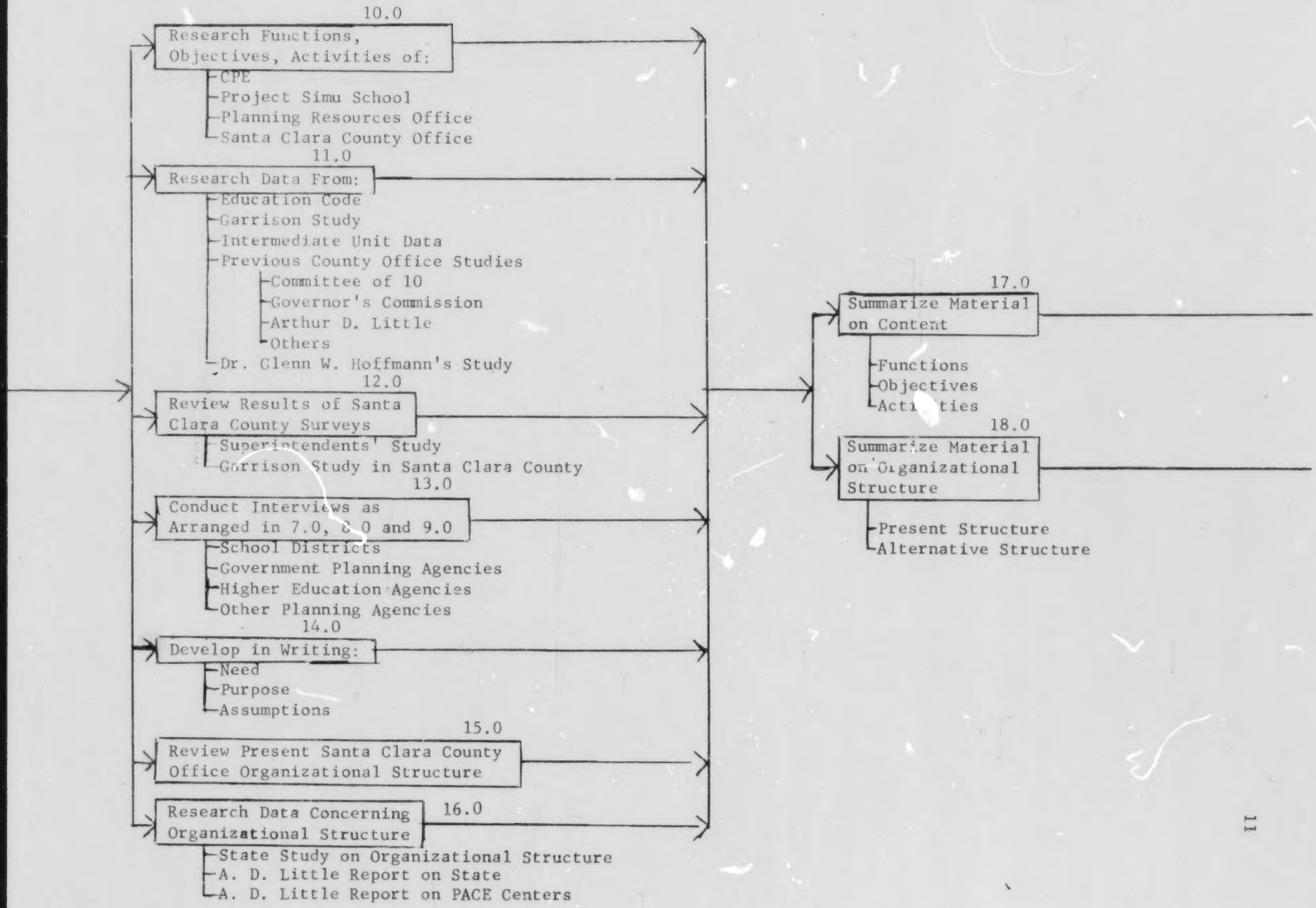

1.6
Organize Data
1.7
Draw Conclusions
1.8
Analyze Organizational Structure Alternatives
1.9
Review Alternatives with Real World and Revise (if necessary)
1.10
Develop Process Plan for Study Design
Needs Summarization
Goals and Objectives Summarization
Functions Summarization
Personnel needs
Other resource needs
Relationships and interrelationships
1.11
Make Recommendation
Objectives
Activities
Organizational Structure

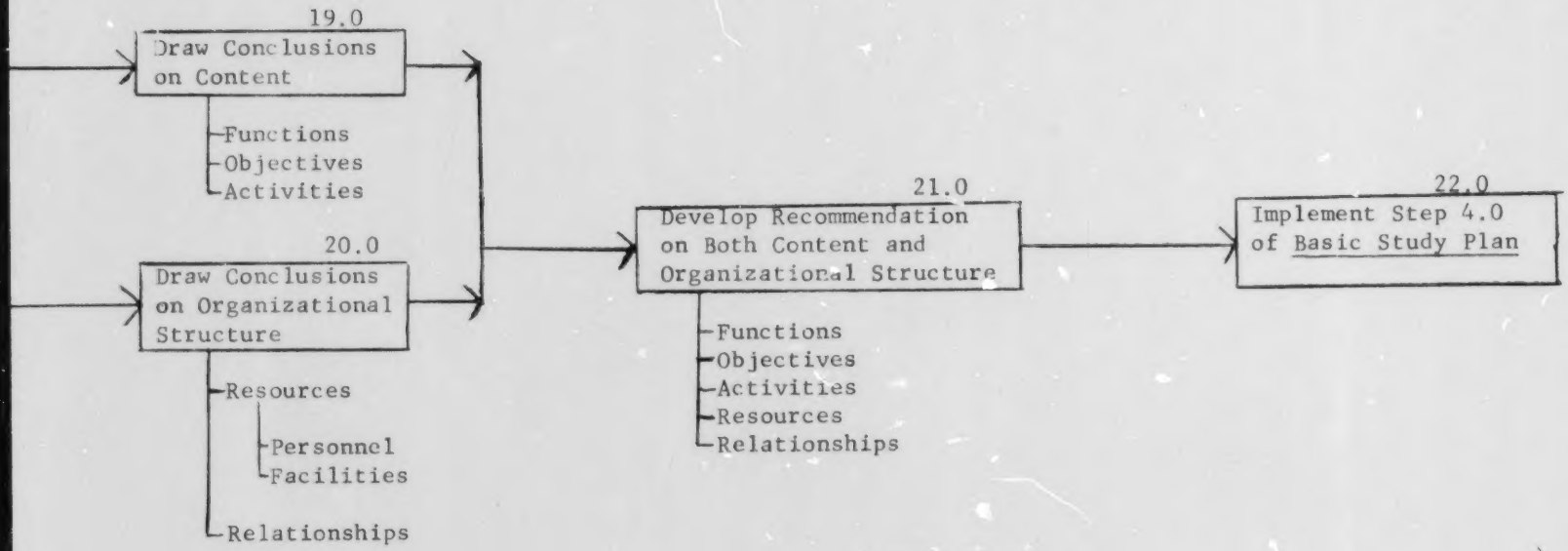
PROCESS PLAN - Revised 7/23/73


0.0
Develop Specific Process Plan for Carrying Out Study Design (See 1.10 of Basic Study Plan)
APPROVAL 7/23/73
Santa Clara County Liaison Persons: Duane Bay-Phil Schneider-Les Hunt
Note: This approval constitutes Study Design Approval and completes Phase I of the Basic Study Plan Steps 1.0 and 2.0 (Acceptance of Study)
2.0
Revise Basic Study Plan and Resubmit for Approval
1.0
Develop Basic Study Plan and Review With Santa Clara County Personnel (7/10/73)
3.0
Develop Proposed Study Report Format and Submit for Revision/ Approval
4.0
Develop Process Plan and Submit for Revision/ Approval



Note: Steps 5.0 through 22.0 constitute implementation of Study Design as set forth in 3.0 of Basic Study Plan.


10.0
Research Functions, Objectives, Activities of:
CPE
Project Simu School
Planning Resources Office
Santa Clara County Office
11.0
Research Data From:
Education Code
Garrison Study
Intermediate Unit Data
Previous County Office Studies
Committee of 10
Governor's Commission
Arthur D. Little
Others
Dr. Glenn W. Hoffmann's Study
12.0
Review Results of Santa Clara County Surveys
Superintendents' Study
Garrison Study in Santa Clara County
13.0
Conduct Interviews as Arranged in 7.0, 8.0 and 9.0
School Districts
Government Planning Agencies
Higher Education Agencies
Other Planning Agencies
14.0
Develop in Writing:
Need
Purpose
Assumptions
15.0
Review Present Santa Clara County Office Organizational Structure
16.0
Research Data Concerning Organizational Structure
State Study on Organizational Structure
A. D. Little Report on State
A. D. Little Report on PACE Centers
17.0
Summarize Material on Content
Functions
Objectives
Activities
18.0
Summarize Material on Organizational Structure
Present Structure
Alternative Structure


19.0
Draw Conclusions on Content
Functions
Objectives
Activities
20.0
Draw Conclusions on Organizational Structure
Resources
Personnel
Facilities
Relationships
21.0
Develop Recommendation on Both Content and Organizational Structure
Functions
Objectives
Activities
Resources
Relationships
22.0
Implement Step 4.0 of Basic Study Plan

5.0 Research and Data Review - Planning as an Aspect of the County Schools Office

The research and data review primarily aimed at planning as a function of the County Schools Office includes the following elements:

5.1 Background of the Intermediate Unit in California
5.2 The development of and recommendations for change in the Intermediate Unit in California
5.3 Specific recommendations relative to planning
5.4 Recommendations regarding planning needs as perceived by school districts in Santa Clara County

5.1 The Intermediate Unit in California - Background

Because the Federal Constitution omitted any reference to education, this function was left to the various states. The State of California fulfills its responsibility through a three-level system: The State Department of Education, the County Office of Education, and Local Districts.

The State has the basic responsibility of providing for overall financial support plus providing general direction and leadership, and exercising a regulatory function as called for by the various laws.

The Local District has the responsibility for providing direct education to students residing in the district plus the support services which direct education requires; e.g., buildings, business services, curriculum services, personnel services, etc.

The County Office is assigned the basic responsibility for assisting the State in performing its regulatory function and assisting districts in both support and direct educational services.

General responsibilities of the County Office include:

- Providing budgetary regulation and audits for educational funds, including receipt and disbursement of all tax-derived funds.
- Assisting the State in other regulatory functions including legal functions.
- Providing direct education on a county-wide basis to handicapped students plus students requiring other special types of education; e.g., Vocational Education.
- Providing direct services to small districts, including curricular and psychological services.
- Providing other support services as requested by the local districts or mandated by the State (A-V, Data processing, curriculum development, Educational Research Center).

To assist the County Superintendents and provide a set of checks and balances, County Boards of Education are generally elected from trustee areas throughout the counties. The County Board as lay citizens, plus the County Superintendent as a professional educator, work as a team to provide the necessary leadership and support to perform the County Office Functions.

Throughout its history, the Office of the County Superintendent has served in many roles in its unique position as the intermediate unit between the State Department of Education on one side, and the school district on the other.

In order to properly define the modern role of the County Schools Office, or intermediate unit, a great many studies have been made:

In 1947, a study by Strayer established the County School Service fund, and provided a direct apportionment of state funds to support supplementary educational services to school districts.

A study by J. Conner in the early 1950's resulted in the definition of direct, coordination and contract services.

The Committee of Ten recommended in the mid-1960's that a move be made toward regionalization with a flexible county unit that could organize areas or administrative units for specific purposes, such as data processing and educational television.

The 1969 statute AB 606 authorized a joint legislative budget committee to conduct a "comprehensive review and study of the Office of the County Superintendent of Schools."

A segment of the 1969 Governor's Commission on Education Reform undertook a review of the County Schools Office. It was charged by the Governor to "view the entire elementary and secondary educational process, and make recommendations to me (the Governor) to improve its effectiveness and quality of teaching our children."

A summarization of some of the above findings is included in this study report.

5.2 <u>The Development of and Recommendations for Change in the Intermediate Unit in California</u>.

5.2.1 A list of the major recommendations made since 1951 regarding changes in roles, responsibilities, and functions of county offices of education in California was prepared by Santa Clara County Superintendent of Schools in 1972. (The entire report is included as Appendix A.) A summarization of this report plus additional recommendations from subsequent studies can be stated as follows:

Role of the Intermediate Unit:

A trend from a perception of the county office as an intermediate unit of administration representing the state in maintaining standards, to one of service as a coordinating and regional service agency for the local districts with the special responsibility for helping them to cope with new problems and implement new programs.

Organization of the Intermediate Unit:

A trend from professional boards of education elected to serve county units, to lay boards of education elected to serve regions of the state without regard to county lines.

Functions of the Intermediate Unit:

A trend from emphasis on major functions of a clerical nature and actual administration of small districts, to broad authority to provide a wide range of specific services to districts (especially where such services can be provided more effectively and efficiently by a regional agency).

Methods of Financing and Administering the Intermediate Unit:

A trend from continuation of the County School Service Fund, to the concept of regional districts providing services, many of which are contracted for by local districts.

5.2.2 An Analysis of Regional Planning Agencies in California Funded By ESEA Title III - Arthur D. Little Company - October 1968.

The conclusions of the Arthur D. Little Study, completed in 1968 and based on prior studies as well as additional considerations, are as follows:

> Unquestionably, there is a critical need in California for the consolidation and strengthening of a number of Offices of County Superintendents of Schools in order to produce a network of intermediate units with the resources and competencies required to carry out the several important and demanding functions recommended by the Committee of Ten. As we have stated a number of times in the past, the political accidents which led to the establishment of county boundaries in California are not an appropriate basis for the organization and administration of an intermediate unit in today's statewide education system.

A number of states are developing intermediate units based on models demonstrated in both New York and California. In particular, the Board of Cooperative Educational Services (BOCES) Center in Erie County, New York, has been cited as a model, as have several of the stronger intermediate units in the State of California, particularly those where the county superintendent is appointed by an elected county board.

In California, county offices, even the strongest and the best staffed ones, generally have lacked a competent, well-staffed unit to carry out comprehensive evaluations and needs assessments, and to assist districts in planning for significant educational development and change.

In a few instances in California, a highly-effective partnership has been developed between the PACE Centers and the Office of the County Superintendent of Schools to meet these needs, both of the county office and of the districts in the service area. Unfortunately, however, a number of county superintendents either have not taken full advantage of PACE Center potentials or have inhibited the application of such potential. If and when there is a reorganization of the intermediate units in California, they will need resource groups such as those represented by the stronger PACE Centers, and our recommendations provide for that so greatly to be desired possibility.

5.2.3 National Survey of County Superintendent of Schools Offices, 1972

Except in the very smallest states there is no educational system in which there are not at least three levels or echelons of responsibility. It would seem, on the basis of experience, the intermediate unit is a critical link in the system. It should be pointed out that even in those states which do not have an intermediate link defined as such, either as a County Superintendent of Schools Office or other comparable agency, the state has extended itself to that level with regional offices.

5.2.4 Probably one of the most informed and respected analysts of the Intermediate Unit in Education has been Dr. Robert M. Isenberg. As Director of the National Education Association's Division of Rural Services, he traveled the nation and studied the intermediate unit in depth. At a conference on School District Reorganization and the Intermediate Service Unit (held at Harrisburg, Pennsylvania, April 21-22, 1966), he made the following observations:

A new type of intermediate unit is evolving. It is developing out of successful experience with local school district reorganization and recognition that many educational service functions require population base for operation and a degree of specialization in staff which are beyond the reach or opportunity for effective use of what local districts either are likely to or should become. Substantial legislative reorganization toward the new type of intermediate unit has already been enacted in Michigan, Iowa, Washington, Oregon, Wisconsin, Nebraska, and Colorado. A much needed overhaul of the intermediate unit structure is now pending in New York. Studies currently in progress in Pennsylvania, Ohio and California indicate a great deal of promise for significant legislative action. In certain other states there is recognition of the need to do something but the formal steps required for actual accomplishment are yet to be taken.

More important than just the development of organizational machinery are the outstanding service programs which such action has encouraged into being. Within the next year or two as a result of recent state legislative actions, the number of such programs and their geographic distribution will be multiplied many times. Positive forces are in full swing in many places. And some of the most creative educational leadership anywhere in the country is now being attracted to intermediate unit administration. It's hard to stand in the way of success. The evolution of a new type of intermediate unit is well on its way.

5.2.5 The Intermediate Unit of School Administration - The Wisconsin Study

A two-year study in Wisconsin was made to determine if an educational administrative unit between the state and local districts was needed; and if needed, whether their county school superintendent structure was adequate. A further purpose was to develop criteria for the type of intermediate administrative unit needed if the exising structure was inadequate.

The two major findings of that study, published in 1959, were as follows:

The first major hypothesis--an administrative unit between the state and the local school districts is needed to aid in providing an optimum educational program--was accepted for the state of Wisconsin. Both the data gathered and the literature

relating to the intermediate unit of educational administration strongly supported this hypothesis.

The second major hypothesis--the county school superintendency as now constituted is adequate to aid in providing an optimum educational program--was rejected. The Wisconsin data and the literature relating to the county superintendency clearly indicated the inadequacy of the county superintendency as now constituted. A large proportion of the local school districts in Wisconsin are not effective in providing modern educational programs at economical costs per pupil. In general, the present county intermediate units do not make adequate provisions for educational services and leadership which are needed by these districts. Even though continued reorganization of school districts tends to eliminate very small districts, there is ample evidence that in the foreseeable future a large majority of Wisconsin school districts will have need for assistance and services which can best be provided by an adequate intermediate unit of educational administration.

5.2.6 The Intermediate Unit in California's Educational Structure, A Study of the County Superintendent of Schools. A report conducted pursuant to AB 606, 1969, by the Legislative Analyst's Office, January 1971.

Recommendations - Organization of the Intermediate Unit:

1. We recommend that the office of the county superintendent of schools and the corresponding governing county board of education be eliminated through constitutional amendments and replaced as the intermediate unit in California's educational structure by regional education districts which are not restricted in size to the boundaries of a single county. (page 14)

2. We recommend that the Legislature direct the State Board of Education to develop a plan to merge the 58 offices of the county superintendents of schools into regional education districts. (page 14)

Recommendations - Administrative Structure of the Intermediate Unit:

A. Recommendations for Immediate Changes in the Administrative Structure of the Office of the County Superintendent of Schools.

1. We recommend that the responsibility for selecting the county board of education be transferred from the county electorate to the governing boards of the local school districts in each county. We further recommend that the local district governing boards elect the county board of education from among their own members. (page 21)

2. We recommend that the county boards of education be made fiscally independent by transferring by statute to the county boards of education the responsibilities currently held by the county boards of supervisors for the office of the county superintendent of schools. (page 21)

We further recommend that the county board of education be granted the authority to approve the county school service fund budget before its submission to the Superintendent of Public Instruction. (page 21)

B. Recommendations for the Administrative Structure of the Proposed Regional Educations Districts.

1. We recommend that the regional education districts be governed by an elected board. We further recommend that the regional education district governing boards be elected by the governing boards of the local school districts which comprise the regional education districts from among their own members. (page 22)

2. We recommend that the authority of the county boards of supervisors to levy a tax to support the operating expenses of the county superintendents of schools be transferred to the regional district governing boards to support the operating expenses of the regional education district when the county boards of education are eliminated. (page 22)

3. We recommend that the constitutional provisions which call for an elected county superintendent of schools be eliminated and that the governing board of the regional education district be given the authority to appoint the superintendent of the regional education district and determine his salary. (page 23)

Recommendations - Functions of the Intermediate Unit:

A. Recommendations for Immediate Change in the Functions of the County Superintendents of Schools.

1. We recommend that the authority of the county superintendents of schools to provide the direct services of supervision of instruction, supervision of attendance, supervision of health, and guidance services to small school districts without charge be rescinded. (page 41)

We further recommend that state funding of the direct services provided to small districts by the county superintendents of schools, currently $0.70 per statewide ADA, be terminated and the basic aid for small school districts be increased from $115 per ADA to $125 per ADA, an estimated savings to the State School Fund of $2 million. (page 41)

2. We recommend that the authority of the county superintendent of schools to develop courses of study and instructional materials for local districts without charge be rescinded for an estimated savings to the State School Fund of $0.5 million. (page 42)

3. We recommend that the authority of the county superintendent of schools to provide audio-visual services and library services to local districts without charge be rescinded for an estimated savings to the State School Fund of $3.2 million. (page 43)

4. We recommend that the authority of the county superintendents of schools to provide teacher institutes and inservice training for school districts without charge be rescinded for an estimated savings to the State School Fund of $0.2 million. (page 43)

B. Recommendations for the Functions of the Proposed Regional Education Districts.

1. We recommend that the administrative and credentialing functions performed by the county superintendents of schools for the Department of Education using state funds be transferred to the regional education districts when the county offices of education are eliminated. (page 43)

2. We recommend that the administrative functions performed by the county superintendents of schools for the school districts with county funds be transferred to the regional education districts when the county offices of education are eliminated. (page 43)

3. We recommend that the authority of the county superintendents of schools to contract with local school districts and other agencies to provide educational and administrative services specified in the Education Code be transferred by statute to the regional education districts when the county offices are eliminated. (page 44)

Recommendations - Financing the Intermediate Unit:

A. Recommendations for Immediate Changes in the Financing of the Office of the County Superintendents of Schools.

1. We recommend that the Bureau of School Apportionments and Reports be directed to develop a formula for the distribution of state support for the office of the county superintendent of schools based on the actual cost of the services the county superintendents are

mandated to provide rather than on ADA. We recommend that this formula be defined in terms of (1) support for the salaries of the professional staff necessary to perform the functions the office of the county superintendents of schools is mandated to perform, and (2) support for the essential operating expenses related to the performance of these mandated functions. (page 60)

2. We recommend that the Education Code provisions which prohibit the county superintendents of schools from carrying forward a balance in their county school service funds to the next fiscal year be changed to allow the county superintendents to carry forward a balance of up to five percent of their current year apportionment to the succeeding fiscal year. (Page 61)

3. We recommend that the County School Service Fund budget revision process be changed (1) to require that budget revisions be reported and justified to the Bureau of School Apportionments and Reports at the end of the fiscal year rather than each time an expenditure is made which varies from a budget line item, (2) to require that budget revisions be justified on a program basis rather than a line item basis and (3) to eliminate Education Code provisions which penalize the county superintendents of schools for over-expending a line item in their budgets. (page 61)

4. We recommend a reduction of $6.5 million in state funding of the coordination services of the county superintendents of schools which are financed through the County School Service Fund "other purposes" apportionment. We further recommend that the authority of the county superintendent of schools to provide curriculum and business consultation to local districts without charge be rescinded. (page 62)

B. Recommendations for Financing the Proposed Education Districts.

1. We recommend that the services performed by the regional education districts for the Department of Education be financed with state funds and that the services performed by the regional education districts for the local districts be financed with local funds. (page 62)

5.2.7 An Analysis of the Emerging Role of County Superintendents of Schools Offices in California, 1971

E. C. 8501 The Legislature hereby declares that it is in the interest of the State and of the people for the office of the County Superintendent of Schools, through the County School Service Fund, to provide coordination of the educational programs among districts under his jurisdiction and to provide professional and financial assistance to school districts which otherwise, because of size or location, would not be able to furnish a satisfactory program of education for their children. .... In adopting this Act, the Legislature considers that the coordination of the educational programs constitutes the greatest continuing need to be met through the County School Service Fund ....

5.2.8 An Investigation of Cooperative Educational Activities Among County Offices of Education in California - Doctoral Dissertation - Stanford, Glenn W. Hoffmann, June 1966

The conclusions and recommendations of this study are set forth as follows:

Conclusions

The changes taking place in the reorganization of county offices of education in America appear to be irreversible. The two obvious trends are (1) the complete elimination of any form of intermediate unit, and (2) the reorganization of county offices of education into more effective intermediate units not necessarily confined to county boundary lines.

Because the office of county superintendent of schools in California is a requirement of the Constitution, and since the office plays a prominent role in the public education system, it may be very difficult to eliminate the office through regular legislative processes. It seems more probable that a process of gradual change will occur where additional county unified districts will be formed such as those formed in Mariposa, Plumas, Sierra, and Del Norte Counties. Thus, over a period of years, county offices in smaller counties may be modified without turmoil.

It is possible, of course, that a total change might be made at some point in time by the Legislature just as has been done in other states. But in the interim, while waiting for either the major changeover or for a slower county-by-county changeover, the concept of the flexible intermediate unit offers a means by which certain services could be provided school districts in California which would not be possible on the prevailing single county basis. The fact that 122 cooperative activities were discovered, performing eleven general tasks and involving as few as two counties and as many as fifty-eight, leads to the conclusion that the

flexible intermediate unit approach is a highly utilitarian and unique notion to be a worthy alternative while reorganization of the intermediate unit in California is under study. Should reorganization occur, the concept would probably continue to be useful for cooperation among the newly-formed intermediate units.

While a structure for initiating and conducting cooperative activities has been established and is functioning, it is evident that the system needs strengthening. The analysis of projects that have been undertaken to date shows inadequacies and weaknesses that need correction if the device of coordinated action among county offices is to yield richer dividends.

Recommendations

The flexible intermediate unit concept, which had its beginnings in 1957 with the appointment of a county superintendent's committee on cooperative publications development, has developed into a partially-structured system that needs further refinement. In 1966, differences of understanding as to the structure and functions of the system existed among local, county, and state officials. The legal status of the concept has been declared by the Legislature but it needs strengthening and clarification. This will take continuous support and evaluation by the State Department of Education and others who have been or will be involved in cooperative activities among county offices of education. The following specific recommendations are made:

1. A statement should be prepared for distribution to local, county, and state officials which describes and sets forth the goals and procedures used as county offices function within the framework of the flexible intermediate unit concept. This should be done after the entire system has been evaluated and strengthened where necessary. The document should include, but not be limited to, a statement about the:

   a. Philosophy, purposes, and structure of the system.

   b. Roles to be played--who is to do what.

   c Relationships and areas of authority of the county offices of education as they interact cooperatively with other agencies and groups; i.e., State Department of Education, Legislature, local school districts, institutions of higher learning, teachers and students.

   d. Financing of the system.

2. The six areas into which the State has been divided should be examined for possible readjustment of boundaries. The evidence indicates that the present boundaries may not be, in some cases, the most effective ones. In the San Joaquin Valley, the division of Area 4 into two areas should be considered, and possibly some other regroupings should be made.

3. The Association of California County Superintendents of Schools should employ an individual possessing managerial or "systems" competence who has had a background in school administration to work as a consultant to the State Steering Committee. This person would attend all meetings of the Steering Committee, some State Department of Education meetings, meetings of county personnel as they meet in the six areas, and participate in other activities that would lead to better communication and understanding throughout the hierarchy of the public school system. The consultant would be a traveling communication agent whose function it would be to travel through the various echelons, informing and being informed by the many small groupings within the larger population. But more than just information, the consultant would be charged with examining and raising critical questions about cooperative activities as they were in the planning stages for the purpose of developing stronger systems among county offices as they cooperate in various activities.

   The individual would be responsible to the Executive Board of the California Association of County Superintendents of Schools. The expenses of the consultant would be met through the channels already established for special projects through the County School Service Fund.

4. If cooperative activities are to have the greatest potential for success, each in turn must be administered as though the region being served were a single administrative unit rather than multiple units. This often will require one county to assume the administrative role and the other counties within the region to act in subordinate and facilitating roles. This demands the highest form of cooperation on the part of county superintendents and their staffs. Planning, financing, participation during the project, acceptance and dissemination of results must be uniform throughout the region just as though only one county were involved. Any lesser involvement foreshadows failure over the larger area even more surely than a corresponding inadequate operation would do within an individual county.

5. When the initiation of a cooperative activity is under consideration the problem should be carefully defined and

communicated to those within the potential cooperative multi-county area. After necessary data has been collected and analyzed, alternatives should be weighed in order that the most rational decision might be made in terms of priority, time, and resources available. When the decision has been made to accomplish a certain task, a plan of action should be written, approved, and distributed to all parties involved. The plan should include, but not be limited to:

a. A definition of the problem and goal expectations.

b. An organizational structure with the roles of men and machines carefully described.

c. A budget sufficiently large to accomplish the task.

d. A system of communication.

e. A system of appraisal or feedback.

5.2.9 Report of the Governor's Commission on Educational Reform, January 1971.

Recommendations:

1. A constitutional amendment should be initiated to eliminate the office of county superintendent of schools and county boards of education.

2. There should be established, by constitutional amendment, regional offices of the State Department of Education, not to exceed fifteen in number, to which should be assigned all necessary functions of the present county offices. The regional offices should provide to the local districts:

   a. Legal services (other than those of the County Counsel) and interpretation of the State Education Code, regulations of the State Board of Education and Title 5 of the Administrative Code;

   b. Coordination in areas of curriculum, research and development;

   c. Development and coordination of special education programs and special schools (special education programs should be operated by local school districts under contract, rather than by the regional centers);

   d. Development and coordination of regional data processing services;

e. Consultant services in personnel and business management;

f. Central purchasing on a regional basis where more economical, thus providing substantial savings through increased purchasing power;

g. Instructional television, to be made available to all public schools within each region;

h. Regional centers for occupational information, with information gathering and dissemination capabilities to serve all public schools in each region;

i. Most of the current functions of the State Department of Education which are necessary for smooth and coordinated operation of public education in California;

j. All services should be provided on the basis of district needs without regard to population density.

3. Each regional office would be headed by a regional superintendent appointed by the State Board of Education, recommended by and responsible to the State Superintendent of Public Instruction.

4. The regional offices would be financed by the state, since they would be a direct arm of the State Board of Education.

5. Each regional office should have a regional advisory board of not more than ten members made up of elected school board members, with one or more representatives from each county, to be elected by the trustees of each county.

6. The control of and responsibility for local school district elections should be returned, by legislative enactment, to the County Clerk's Office.

7. Decentralization of the State Department of Education through the creation of regional offices would eliminate the need for a large office staff as currently exists; it is therefore recommended that the central staff of the State Department of Education be reduced by legislative enactment to a bare minimum.

8. School district financial accounting responsibility should reside with the local school district. All school districts should continue to have their funds and warrants handled by the County Treasurer. School district budgets should be submitted directly to the County Board of Supervisors for determination of the tax rate which is necessary to fund the district budget for that portion to be raised by local taxes.

9. All employees of the State Department of Education, including those of the proposed regional offices, should be employed on an annual contract basis, as needed, and be retained based on performance criteria, thereby eliminating civil service status.

5.3 Specific Recommendations Relative to Planning

5.3.1 The Future of the Intermediate Unit in California submitted by the Committee of Ten, September, 1966.

1. Its major function, however, is to serve as a coordinating and regional service agency for the local districts.

2. The county office assumes a leadership role in program planning, development and evaluation ... and in spearheading research, experimentation, and followup studies.

3. It is recommended that the intermediate unit be a planning office, capable of identifying emerging and changing demands of our society.

4. It is recommended that the intermediate unit be assigned the responsibility for coordinating the identification of problems needing research and the resources with which to attack the problems.

5.3.2 Intermediate Report of the Governor's Commission on Educational Reform, June 1970.

1. There should be created a single state Educational Research and Development Agency, responsible to the State Board of Education outside the confines of the State Department of Education. This agency should be authorized and funded to stimulate the design, evaluation and dissemination of new elementary and secondary instructional and organizational programs.

   This would provide systematic needs assessment and definition of minimum educational goals, measurable learning objectives and educational priorities; and would provide for systematic dissemination of results.

   The process would be to identify needs, assign priorities, implement programs in demonstration sites, evaluate the programs, and disseminate results which show promise for measurably improving the quality of education. Programs that are demonstrated to be successful should be introduced into a limited number of schools and districts, and if

further proven effective, they should be brought before the Legislature by the State Board of Education for necessary statewide implementation.

The agency staff should include four operating divisions, each with a full-time director, for the following functions:

1. Planning and needs assessment
2. Educational design
3. Educational evaluation
4. Statewide dissemination of results

2. The State Department of Education should be required to organize around the central pursuits of (1) planning and needs assessment (2) design and (3) evaluation. State Department services, other than regulatory functions, should be directed toward the establishment of temporary professional expert teams in these three areas. Permanent state services in data retrieval systems for decision making should be established.

3. Intermediate units should focus their efforts on the organization of regional dissemination centers of manageable size.

5.3.3 Data From Planning Model for Intermediate Unit of Education - The Garrison Study, January 1973.

Statewide (49 of 52 counties surveyed) there was agreement from all groups (district superintendents, district board members, State Department of Education Executive Committee, county board members, county certificated staff members who provide direct service, board members, central staff members, principals and teachers of direct service size districts) that the following functions are important (2 or better on a 5-point scale) and that the Intermediate Unit of Education should assume the primary responsibility:

- Coordinate cooperative efforts to find and solve critical educational problems using a representative task force approach.
- Provide advisory services and technical assistance to school board members to facilitate improvement of policy decision-making processes, and development of explicit strategic plans for public education.

- Provide advisory services and technical assistance in the design and preparation of project proposals and research studies.
- Provide advisory services and technical assistance in the planning, development, and implementation of experimental, innovative and/or exemplary programs and management practices.
- Provide advisory services and technical assistance in the utilization of new knowledge and technology.
- Coordinate the development of educational goals and quality assessment programs for public education.
- Establish and maintain regional data processing centers and related services.
- Provide advisory services and technical assistance for the improvement of public school quality assessment programs that are designed to evaluate the quality and effectiveness of educational programs and related learning programs.
- Provide advisory services and technical assistance for the planning and programming of computerized management and instructional programs and services.
- Provide advisory services and technical assistance for the improvement of school district organization and management practices.
- Coordinate the development of area master plans for school district organization and reorganization.
- Perform school district valuation and apportionment services.
- Provide advisory services and technical assistance in school district annexations, transfer of territory, and boundary adjustments.

Designing and conducting educational needs assessments and community services was agreed upon by all responding groups as primarily a district responsibility. Providing advisory services and technical assistance in school house planning, construction, and site development was agreed upon by all responding groups as a primary responsibility of the State Department of Education.

Elementary and secondary districts over 8000 ADA agreed that providing coordination and advisory services for the planning and development of educational goals and quality assessment programs for public schools is primarily a responsibility of the State Department of Education:

- Coordinate communications between educational agencies to facilitate the development of an awareness of innovative practices and exemplary programs.

Most responding groups agreed that the following are important and that an Intermediate Unit of Education should assume the primary responsibility:

1- Establish and maintain leadership training programs for public school administrators and public school teachers.
2- Coordinate the development and implementation of a viable Planning, Programming, and Budgeting System for public educational agencies.
3- Plan and coordinate inservice training programs to support the development and implementation of PPBS and related management programs and practices.
4- Provide advisory services and technical assistance for the improvement of planning, evaluation and accountability in public education.

Approximately 40% of the respondees from unified districts over 1500 ADA and elementary and secondary districts over 8000 ADA indicated that Number 1 is primarily a district responsibility and approximately 40% indicated that it is an Intermediate Unit responsibility.

The Executive Committee of the State Department of Education indicated Numbers 2 and 4 are primarily a State Department responsibility.

While all groups agreed that the following is in part an Intermediate Unit function, they indicated that it is primarily a district responsibility.

- Establish and maintain information services which provide a continuing means for informing the public regarding school district educational programs and activities and reporting the quality and effectiveness of public educational programs and services.

5.3.4 Digest of Legislative Requirements for County Superintendents of Schools Offices and County Boards of Education, 1972.

The County Superintendent of Schools may perform the following functions related to planning if he so desires:

E.C. 1072	Inform citizens of educational problems and activities
E.C. 886.2	Participate in projects for developmental program planning
E.C. 899.3	Employ personnel for research projects
E.C. 899.6	Provide advisory services
E.C. 7411 7418	Establish and maintain regional data processing centers

5.3.5 Education Code By-Product of Task Force 1.0 for the Implementation of the Planning Model, 1971.

E.C. 820 The County Superintendent may conduct studies through research and investigation in connection with the future management, conditions, needs and financial support of the schools within the county; or join with one or more school district governing boards in the conduct of such studies.

5.3.6 An Analysis of Regional Planning Agencies in California Funded by ESEA Title III - Arthur D. Little Company, October 1968.

From 1965 to 1971 a network of 21 PACE Centers provided planning assistance to school districts throughout California. Most of these centers operated in a single county with the County Office of Education as the LEA. Others served several counties with one of the counties serving as LEA. In one or two instances, the center served less than a county (e.g., LA City) or utilized a school district as the LEA (e.g., Monterey Unified).

Because planning was a major responsibility of these centers, some of the conclusions and recommendations made by the Arthur D. Little Company concerning the centers seemed entirely appropriate to this study:

1. Because of the unique mission and the important contributions of the regional PACE Centers in California, a modified network of these PACE Centers should be continued in operation as an integral part of the State's educational system. Under the governance of the State Board of Education, the educational system of the State must carry out the following seven broadly-defined major functions:

   (1) Sensing emerging needs for educational development in the State, and for related changes in the State's educational system.

   (2) Assigning priorities and allocating resources among areas of discovered need in the context of comprehensive and integrated State plans for education.

   (3) Providing for the design of improved instructional programs and services, and for the stimulation and support of new educational developments to meet the discovered needs.

   (4) Evaluating both new and established educational programs and services, the ways in which such programs and services are planned and administered, and requirements for redirecting allocations of human and material resources.

(5) Facilitating the dissemination of information regarding new instructional programs and services and their effects.

(6) Encouraging and supporting the adoption of new educational developments and improved instructional programs and services.

(7) Assuring the quality of educational offerings in accordance with legislative mandates and as required by regulations of the State Board.

The PACE Centers make major contributions in directly carrying out responsibilities associated with functional requirements numbered 1, 3, 5, and 6. They make important contributions to functional requirements numbered 2 and 4.

Client-Oriented Functions

(2) Provide for the assessment of educational needs in the area served.

(3) Thoroughly investigate what has been done elsewhere in coping with those kinds of needs (type or area of need, intensity, characteristics of learners, and etiology) assigned high priority by the community.

(4) Determine the capabilities and resources needed to effect the adaptation and adoption of possible "solutions" to high priority needs, involving resource persons and community representatives where appropriate and possible.

(5) Assist community representatives in assessing and inventorying the nature and extent of capabilities and resources in and available to the community in its efforts to modify and/or adopt possible solutions to meet high priority needs.

(7) Provide for supplying continuing support and necessary technical knowledge to agencies striving to develop innovative and/or exemplary educational programs and projects to test and demonstrate the effectiveness of likely solutions to priority problems.

In order for the PACE Centers to most effectively fulfill their mission, serve the important functional requirements of the State's educational system indicated earlier, and carry out the functions listed above, we recommend the following changes:

a. The PACE Centers should be regrouped and reduced in number in order to emphasize and capitalize upon their regional character, facilitate more multi-district planning and inter-agency cooperation, and increase their organizational effectiveness.

b. The management structure of the PACE Centers should be reorganized and redefined in order to decrease the degree to which some PACE Centers have been coopted or controlled by administrators of the educational establishment, and facilitate the Centers' capacity to influence significant educational development by working "from the outside in."

To provide for an Executive Board widely representative of many "publics," we recommend a large self-perpetuating board, 12 to 17 members, and that representatives from at least four different resource groups in the community be appointed to each Executive Board: (a) cultural groups, (b) community organizations and minority groups, (c) educators--administrators, teachers, PTA members, and representatives of higher education, and (d) "consumer" groups, such as the professions, business, industry, labor, or other commercial interests. However, regardless of pluralistic considerations, the board must be comprised of individuals truly interested in quality education.

We recommend that the role of PACE Executive Boards be that of setting policy.

We recommend that PACE Centers make extensive use of ad hoc advisory committees to carry out specific tasks of importance to the Center.

... However, the Centers must be established so as to be able to provide services in response to needs of its clientele and not as agents of the county boards or superintendents.

Utilization of joint powers agreements (for designating applicant agents which in turn submit project proposals to establish PACE Centers serving multiple counties and school districts) implies that each participating agency in the joint powers agreement will give up some degree of autonomy in order to facilitate the effective operation of the PACE Centers.

5.4 Recommendations Regarding Planning Needs As Perceived by California Educators

5.4.1 Criteria for Regionalization - A Report of the Bay Area County Superintendents of Schools - November 1971

In a study conducted by the 11 Bay Area Counties, the possible redesign of the Intermediate Unit was examined.

A ranking of the 35 major functions on which there was consensus indicated the top 10 high-priority functions were:

1. Operation of Special Education Programs
2. Provide instruction media-services
3. Information services
4. School business services
5. Management consulting services
6. Operate specialized (area-wide) instructional program
7. Planning services
8. Inservice training - certificated
9. Develop exemplary programs
10. Coordination

5.4.2 Problem areas as identified through responses from California School Administrators - April 1973

In a survey conducted by the Association of California School Administrators, the major issues facing the public schools in California in 1973 were identified and prioritized by the school administrators of the state. The priority listing of the top 25 follows:

1. Obtaining adequate level of school financing
2. Developing student self-motivation
3. Meeting individual student needs
4. Improving student achievement in basic skills
5. Obtaining equitable predictable school financing
6. Reshaping the public image of education
7. Removing the incompetent educators
8. Retaining personal relationship with pupils
9. Establishing educational priorities
10. Improving evaluation of student performance
11. Changing curriculum to meet changing needs
12. Upgrading management skills of administrators
13. Developing salable skills in students
14. Promoting staff growth and change (renewal)
15. Implementing diagnostic-prescriptive techniques
16. Evaluating educational programs
17. Improving budget management
18. Implement humanistic educational accountability
19. Increasing legislator-educator dialogue
20. Evaluating personnel
21. Improving intra-staff faith and confidence
22. Intra-staff communication
23. Conducting comprehensive needs assessments
24. Increasing community involvement in education
25. Implementing career education.

5.5 Recommendations Regarding Planning Needs As Perceived by Districts in Santa Clara County.

5.5.1 Survey of Educational Functions for Santa Clara County, C.P.E. Study, February 1972.

As part of the state-wide study of the intermediate unit, commonly called the Garrison Study, the responses from superintendents and board members in Santa Clara County were reported out separately.

Items previously concerned with planning which were listed as important and/or very important and for which there was high or very high agreement are listed as follows (identified by original item numbers):

51 - Coordinate the development and implementation of a viable planning, programming, and budgeting system for public education agencies.
53 - Provide advisory services and technical assistance for the improvement of planning, evaluation, and accountability in public education.
55 - Provide advisory services and technical assistance to school board members to facilitate improvement of policy decision-making processes and development of explicit strategic plans for public education.
64 - Provide advisory services and technical assistance in the planning, development, and implementation of experimental, innovative, and/or exemplary programs and management practices.
68 - Establish and maintain regional data processing centers and related services.
77 - Prepare, publish and disseminate research digests and reports.

The Intermediate Unit was the agency of government which was designated as the agency which should provide these services, with the exception of Items 51 and 77, for which the State Department should share such responsibility with the Intermediate Unit.

5.5.2 Superintendents' Survey, Santa Clara County

Project Simu School is an ESEA Title III Project of the Santa Clara County Schools Office and is one of three components of this project in the United States. The overall project goal is "to improve the processes of educational planning both in Santa Clara County and throughout the nation." To accomplish this overall goal, the project has developed five long-range objectives:

1. The establishment of a national system for educational planning.
2. The development of improved educational planning techniques that will enable parents, teachers, students, architects, urban planners and significant others to be involved.
3. The demonstration of newly-developed processes in at least two school districts in Santa Clara County.
4. The dissemination, both locally and nationally, of all products of the Simu School Project.
5. The development and initiation of a training program for educational and facility planners.

To determine the extent to which the project is meeting its objectives, interviews were conducted in November 1972 with selected school district superintendents in Santa Clara County or their delegates. Representatives of 20 of the 33 K-12 school districts were interviewed plus one of the community

college districts. The conclusions of the study indicated that many districts felt their capacity for planning was inadequate. They also felt the need for more training in the areas of planning and projection management, data collection and the interpretation of those data in terms of meaningful plans and activities. The Simu School "packages" which district officials felt would be most helpful were as follows (in priority order):

A Systems Plan for Planning

Educational Program Planning

Community Planning

Developing Alternate Plans

The Who and How of Planning

The Use and Limitations of MIS, Computers, and Simulation on Planning

Demography, Enrollment Estimating

Fiscal Planning

Planning of Educational Facilities

In summary, the interview results indicate that while there seems to be much expertise within the districts, many of these districts still feel an inadequacy in the area of planning and a willingness to accept help. Long-range planning and planning in districts with decreasing enrollments remain especially difficult problems. The two most useful "packages" that Simu School could produce, in the opinion of the districts, would involve "a systems plan for planning," and "how to plan educational programs."

(Taken from Interim Evaluation Report for Project Simu-School: The Santa Clara County Component, Center for Planning and Evaluation, January 1973.)

6.0 Client Needs Survey

In order to obtain up-to-date information on agency planning, a survey was conducted in which representatives of the following types of agencies were interviewed:

A. School districts - elementary, secondary, and unified (of sufficient size to employ planners)
B. Higher education institutions - community colleges and universities
C. City and county planning agencies
D. Private, nonprofit agencies

6.1 Identification of Organizations Contacted and Staff Members Interviewed

Phil W. Schneider, Assistant Superintendent, Santa Clara County Office of Education and Dr. Duane Bay, Director, Planning Resources, identified organizations and personnel within the organizations to be contacted, and reviewed and approved the interview questionnaire. Specific organizations contacted and staff members interviewed were as follows:

A.	School Districts:	East Side Union High School District Henry Jensen, Director, Staff Development
		Oak Grove Elementary District Gary Bathurst, Director of Planning
		Palo Alto Unified School District Tom McCollough, Director, Project REDESIGN
		Santa Clara Unified School District Dr. Robert Weiss, Director of Planning
		San Jose Unified School District Dr. John Davis, Administrative Assistant
B.	Higher Education Institutions:	De Anza College Dr. Oscar Ramirez, Dean of Instruction
		San Jose State University Dr. Don Leu, Dean of the School of Education
		Stanford University Dr. Ray Bachetti, Assistant Provost
C.	City and County Planning Agencies:	San Jose City Don de la Pena, Assistant to the Deputy City Mgr.
		Santa Clara County Planning Department Eric Carruthers, Director, County Planning Dept.
D.	Private, nonprofit Agencies:	Santa Clara County Social Planning Council Don Fenly, Director

6.2 Interview Questionnaire and Data Form

Agency _____
Respondent _____
Date _____

A. Agency Facts

1. Identifying Data:
   Size: _____
   Budget: _____
   Personnel: Number: _____ Type: _____
   Customers: _____

2. Objectives of Agency:
   _____
   _____

3. Activities of Agency:
   _____
   _____

4. Areas of Commonality of Planning with Other Agencies:
   _____
   _____

5. Types of Data Collected (See Appendix A):
   _____
   _____

6. How Data is Utilized:
   _____
   _____

7. How Data is Disseminated:
   _____
   _____

B. Agency Opinions

8. Value of a Multi-Agency Planning Center:
   _____
   _____

9. Governance of a Multi-Agency Planning Center; e.g., County Level, who responsible to:
   _____
   _____

10. Functions to be Performed by a Multi-Agency Planning Center:
    _____
    _____

11. Activities to be Conducted by a Multi-Agency Planning Center:

_____

_____

12. Problems a Multi-Agency Planning Center Would Face:

_____

_____

THE FOLLOWING PAGES LIST TYPES OF DATA OFTEN USED BY PLANNING AGENCIES.

A. Would you please respond by placing an "X" in front of the data which your agency now utilizes? (If you utilize data which is not included, would you please include the name of the data and mark with an "X".)

B. Would you please mark with an "O" any data not now used which you would utilize if it were readily available?

A. HOUSING:

_____ Quality of housing
_____ Multi-dwelling units
_____
_____

B. TRANSPORTATION:

_____ Highway--freeway patterns: existing and projected
_____ Mass rapid transit facilities and projections
_____
_____

C. EDUCATION:

_____ Education level of adults
_____ Enrollment projections
_____ Standardized test scores
_____ Student mobility
_____ High school equivalency services--extent of continuing education
_____ School dropout ratios
_____ Percent of handicapped children
_____ Pupil-teacher ratios
_____ Higher education facilities
_____
_____

D. ECONOMIC STATUS:

_____ Dependencies filings
_____ Median income level
_____ Cost of living ratios
_____ Inflation rates
_____ School expenditures (per pupil)
_____
_____

E. POPULATION:

_____ Age of population
_____ Persons per square mile (population density)
_____ Population mobility
_____
_____

F. ETHNIC MINORITIES:

_____ Percent of ethnic minority
_____ Location of ethnic minority
_____ School enrollment of ethnic minority
_____ Graduation ratios of ethnic minority
_____ Employment ratios for ethnic minority
_____
_____

G. FAMILY STATUS:

_____ Divorce rates
_____ Size of family
_____ Incidents of illegitimacy
_____
_____

H. COMMUNITY SERVICES:

_____ ADC ratio
_____ Human resources facilities--quality and location
_____ Vocational rehabilitation resources
_____ Recreation facilities
_____ Religious groupings--type and quality
_____ Welfare
_____ Food stamp recipients
_____ Land usage
_____ Projections for land usage
_____ Community history
_____
_____

I. EMPLOYMENT:

_____ Unemployment levels--male and female
_____ Employment classifications
_____ Job station and size and type of industries
_____ Location of industrial or business concentration
_____ Job turnover
_____ Prepare projections for future jobs
_____
_____

J. CRIME AND DELINQUENCY:

_____ Predelinquent and delinquency ratio
_____ Petition rates
_____ Ratio of recidivism
_____
_____

6.3 Survey Results (Completed questionnaires are available through Simu School Project)

6.3.1 Functions and Activities

A. School Districts

Organizational philosophy, rather than district size, seems to determine whether or not planners are free of operating responsibilities. Most districts utilize their planners for internal operations as well as regular planning. Functions generally include facility planning, site selection, long-range planning, budget planning and, in some cases, inservice training. Activities include data collection and analysis, needs assessment, enrollment projections, and the necessary interfaces and procedures to conduct them.

B. Higher Education Institutions

There seems to be no common set of functions or activities for planners in these institutions. Because of their various organizational structures, planning departments are usually highly specialized (e.g., Stanford) and, in the case of State institutions, tend to be a function of the centralized authority rather than of the local school. There are many instances, however, where staff members of such institutions work cooperatively with local schools and the County Office of Education.

The community colleges would seem to fit the pattern of the local districts rather than the large university mold.

C. City and County Planning Agencies

The city and county agencies also do long-range planning, facilities planning and other internal planning services plus many operational functions such as assisting the city manager or the board of supervisors. County planners particularly work in the area of public policy; e.g., environmental management policy, urban service policy. Activities include land studies, public information services, and other specialized studies.

D. Private, Nonprofit Agencies

Only one agency in this category, the Social Planning Council of Santa Clara County was surveyed, and its specific functions include

these: (1) to identify and evaluate community social needs, (2) to identify and evaluate available resources to meet community needs, (3) to plan, develop and recommend improvements in social services, (4) to coordinate services to achieve greater effectiveness and to avoid duplication, and (5) to disseminate information to the public about the health, education, welfare, and recreation fields.

6.3.2 Data Collection

A. School Districts

In general, school districts utilize data from whatever sources are available and generate specific data in the areas of enrollment projections, standardized test scores, dropout ratios, pupil-teacher ratios, ethnic minorities, school expenditure figures and the like.

Data on an individual student basis is also utilized as it is available from the welfare department, health department, or other outside source.

Some districts have conducted extensive district censuses (e.g., East Side Union High School District and its feeder elementary districts), but most rely on the federal census or other agency data. Some opinions were expressed that census data available by school attendance areas and school district boundaries would be invaluable. Additional data desired included general population figures, employment figures, and better follow-up data.

B. Higher Education Institutions

With the exception of the community colleges, these institutions indicated they obtain the data they desire internally. The community college position generally reflects that of the other school districts.

C. City and County Planning Agencies

In addition to working jointly with the Social Planning Council, these agencies utilize census and school district-generated data extensively. They tend to analyze data more than generate it. In fact, the County Planning Department has a computerized simulation capability in cooperation with IBM.

D. Private, Nonprofit Agencies

The Social Planning Council, in cooperation with the county, develops census data (Profile 70) and updates it every five years. Other data is gathered only when a particular project or problem calls for it.

6.3.3 Opinions on Multi-Agency Planning Center (in categories on questionnaire)

VALUE

A. School districts in general felt that a Multi-Agency Planning Center held much promise, because, potentially, it could:

- Cut through the various bureaucracies;
- Reduce duplication of effort;
- Make data more readily available;
- Share planning notions up and down;
- Act as a clearing house for data and problems;
- Coordinate planning efforts of all agencies .

B. Responses from higher education institutions ranged from "little or no value," on the part of the universities, to "medium value" on the part of the community colleges.

C. City and county planning agencies considered the idea to be of "great value," because such a Center could:

- Help integrate programs of various agencies (e.g., city drug program and school drug educational program);
- Help agencies establish priorities;
- Raise level of planning from parochial level to broader level.

D. The private, nonprofit agency indicated "great value," particularly to reduce the multiplicity of planning efforts.

GOVERNANCE

Since the responses did not vary with the type of agency, they are presented here for the total group. Suggested forms of governance included:

- Policy-making or advisory board made up of representatives of the policy boards of representative agencies;
- Ad hoc basis only;
- Joint powers board involving those agencies receiving services;
- Council-type body with weighted representation;
- A regulatory-type board.

The most often suggested form of governance was the joint powers board with agency representatives.

Regardless of how governed, the general consensus was that a Multi-Agency Planning Center must:

- Be open to all agencies;
- Be located in county services area;
- Be some place where communications can be effective;
- Have on-going support (not in annual danger of demise);
- Be staffed with people who are highly competent, politically wise, and knowledgeable of organizations and planning theory;
- Provide "fair" services to all units;
- Be interdisciplinary.

FUNCTIONS AND ACTIVITIES

Again, the responses did not vary with the type of agency, so they can be summarized together. Suggested functions/activities included:

- Data collection;
- Compilation of existing data in appropriate format;
- Analysis of data;
- Coordination of the planning of various agencies;
- Communication with agencies as to other agency planning and projects;
- Training of planners;
- "Linkage network" function;
- Developing community/school goals and needs;
- Fostering positive attitudes about planning;
- Looking into special problems as they arise;
- Providing experts as resources to local agencies;
- Preparing alternative solutions to problems;
- Projecting needs of the county;
- Analyzing what's happening to the county and to the world;
- Searching out problems;
- Project development.

The consensus seemed to be that the functions should be determined by the agencies served rather than from the top down.

POTENTIAL PROBLEMS

Once again, the responses need not be grouped by type of agency. Problems foreseen by respondents include the following:

- Financing;
- Provincialism and self-interest on the part of representatives;
- Determination of agency goals/objectives in relation to needs;

- Agreement on services to provide and how to provide them;
- Cutting across government lines;
- Political constraints;
- Most severe organizational problem is human distance from local units;
- Development of ways to deal with local planning units;
- Credibility (need to believe data);
- Interfaces with regional centers such as ABAG, BART, etc.;
- Determining relevant data;
- Attracting and retaining competent staff;
- Accessibility;
- Acceptance by on-going bureaucracy;
- Governance structure;
- Degree of authority.

The three major problems presented repeatedly were:

- Adequate and continuous funding;
- Competent staff;
- Determination of functions which are viewed as important and relevant.

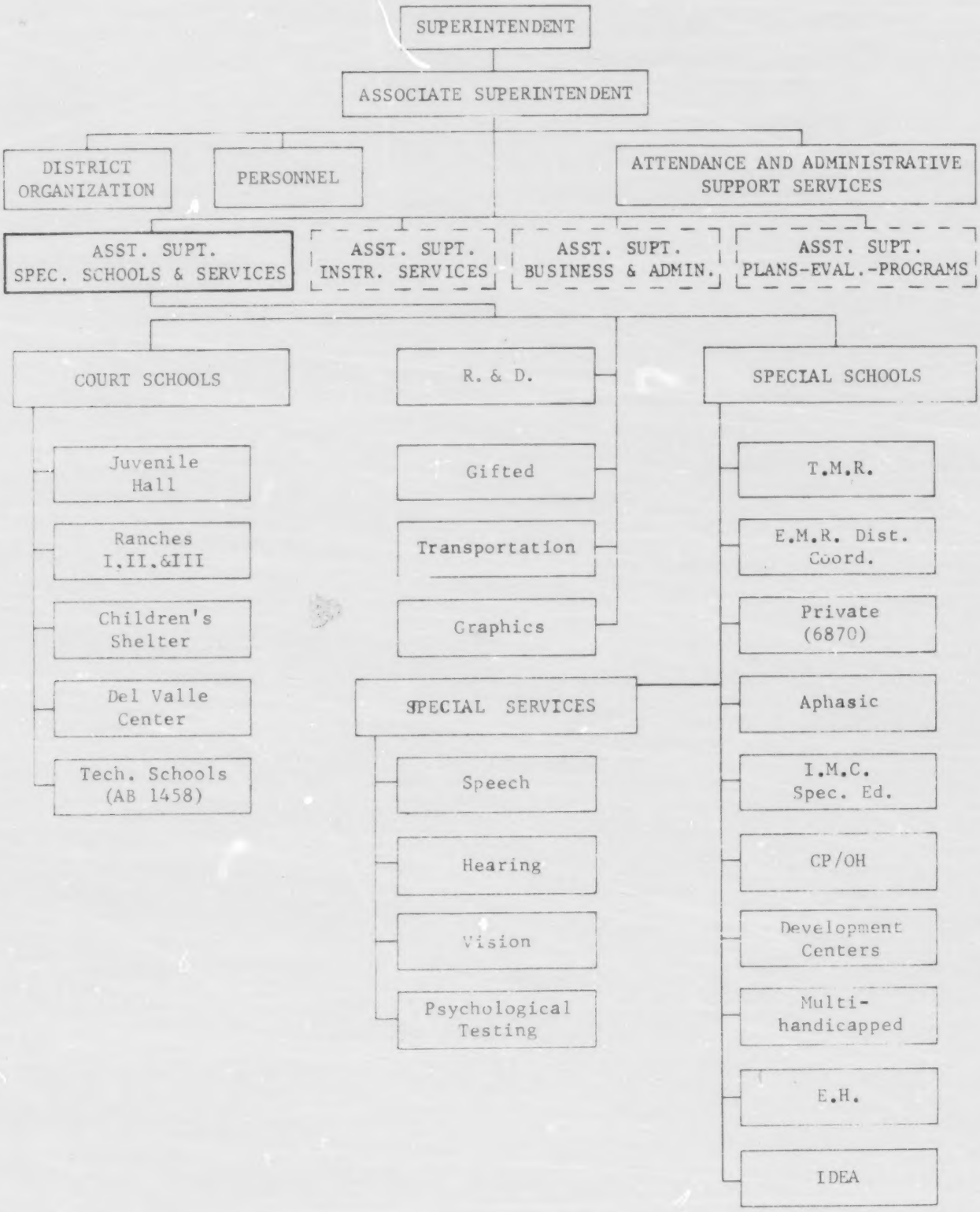
7.0 Present Organization, Direction, and Services of the Santa Clara County Office of Education Relative to Planning

In an endeavor to determine the status of the County Office, especially as regards planning functions and the structure through which they are fulfilled, this section sets forth the organization structure, functions, goals and objectives of the County Office plus the separate related projects which have specific planning functions assigned.

7.1 Santa Clara County Office of Education Organizational Structure

(The organizational structure is set forth diagrammatically on the next four pages.)

DIVISION FUNCTIONS
OFFICE OF THE COUNTY SUPERINTENDENT
SANTA CLARA COUNTY



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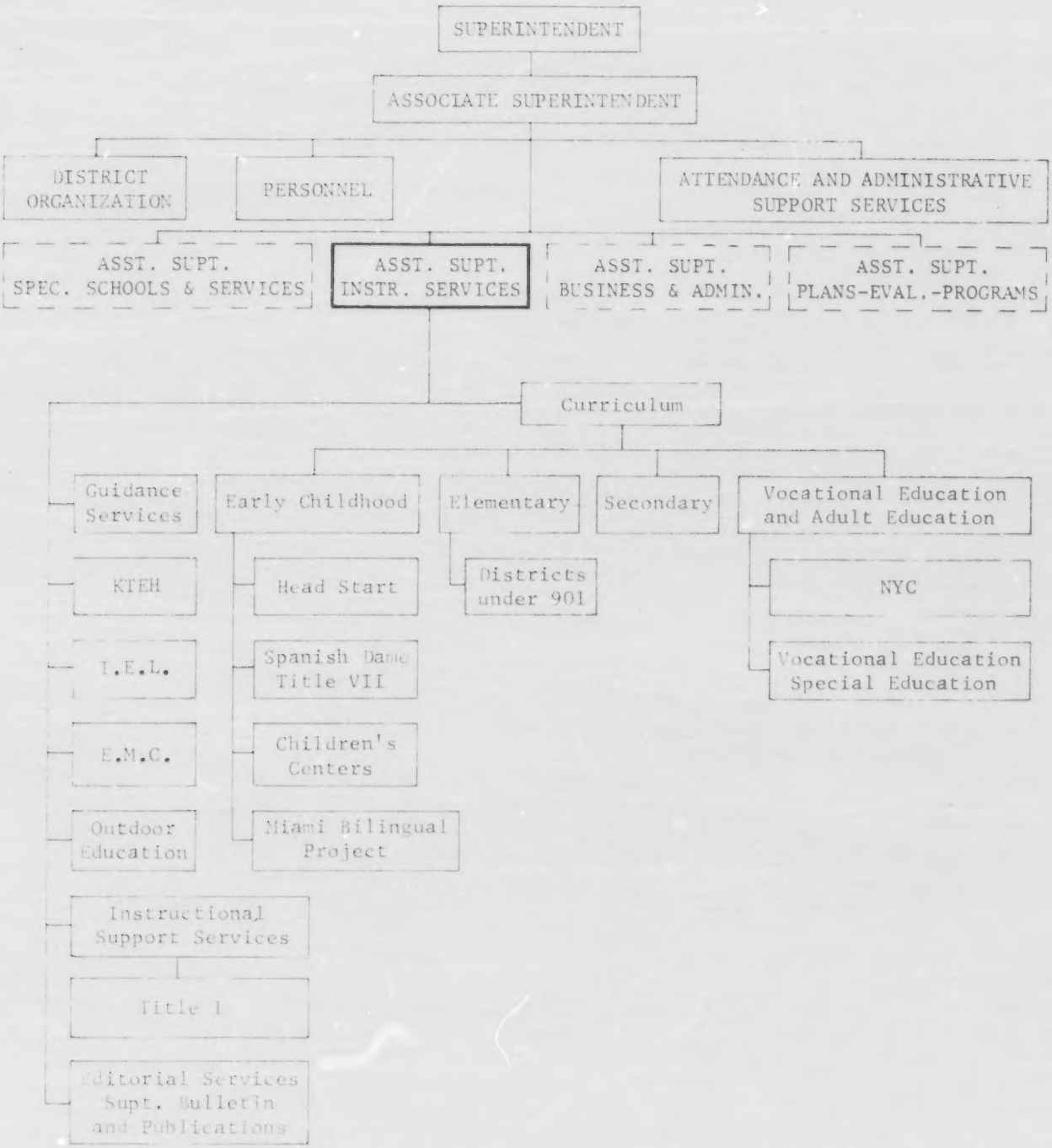
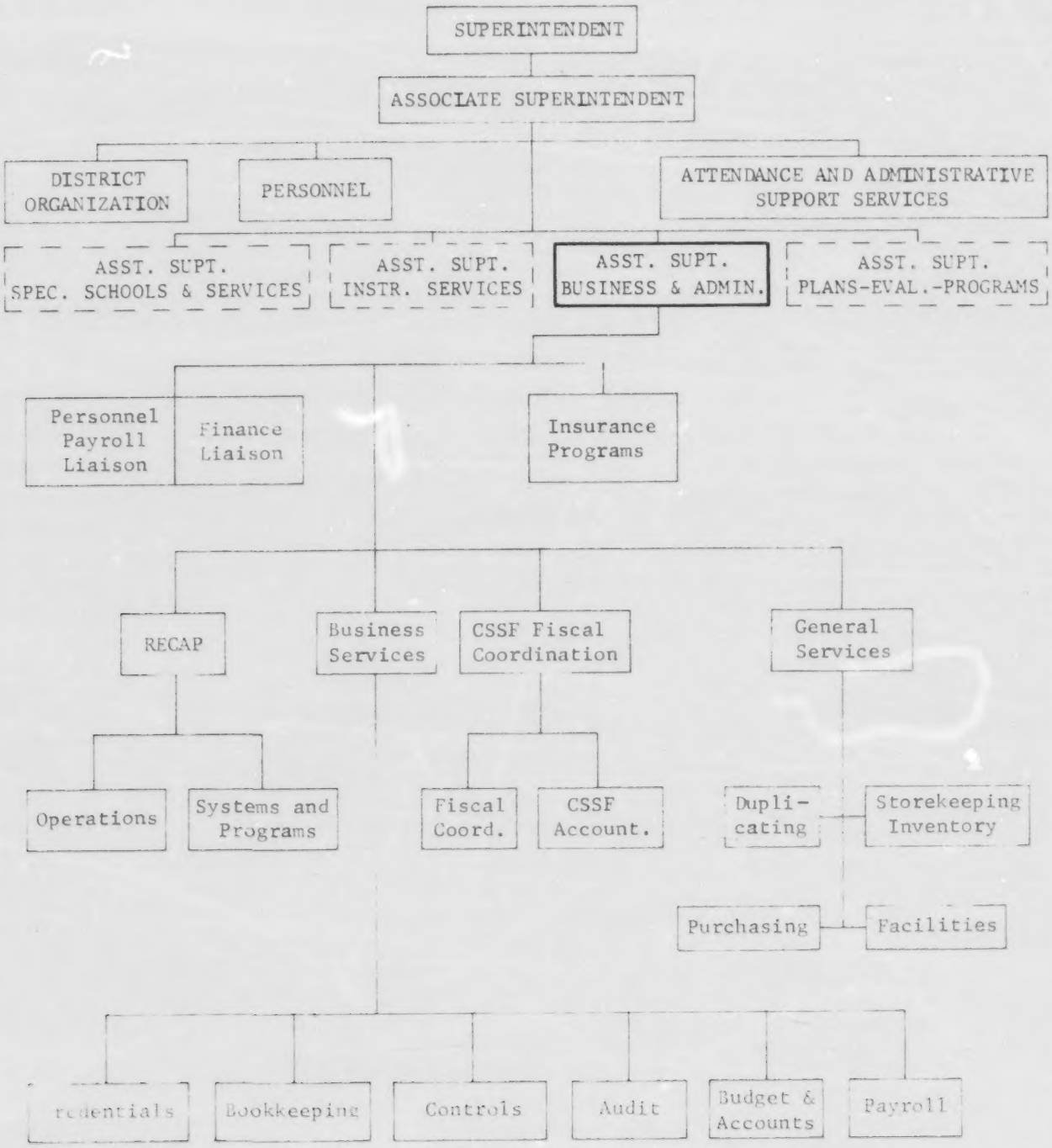
DIVISION FUNCTIONS
OFFICE OF THE COUNTY SUPERINTENDENT
SANTA CLARA COUNTY



DIVISION FUNCTIONS
OFFICE OF THE COUNTY SUPERINTENDENT
SANTA CLARA COUNTY



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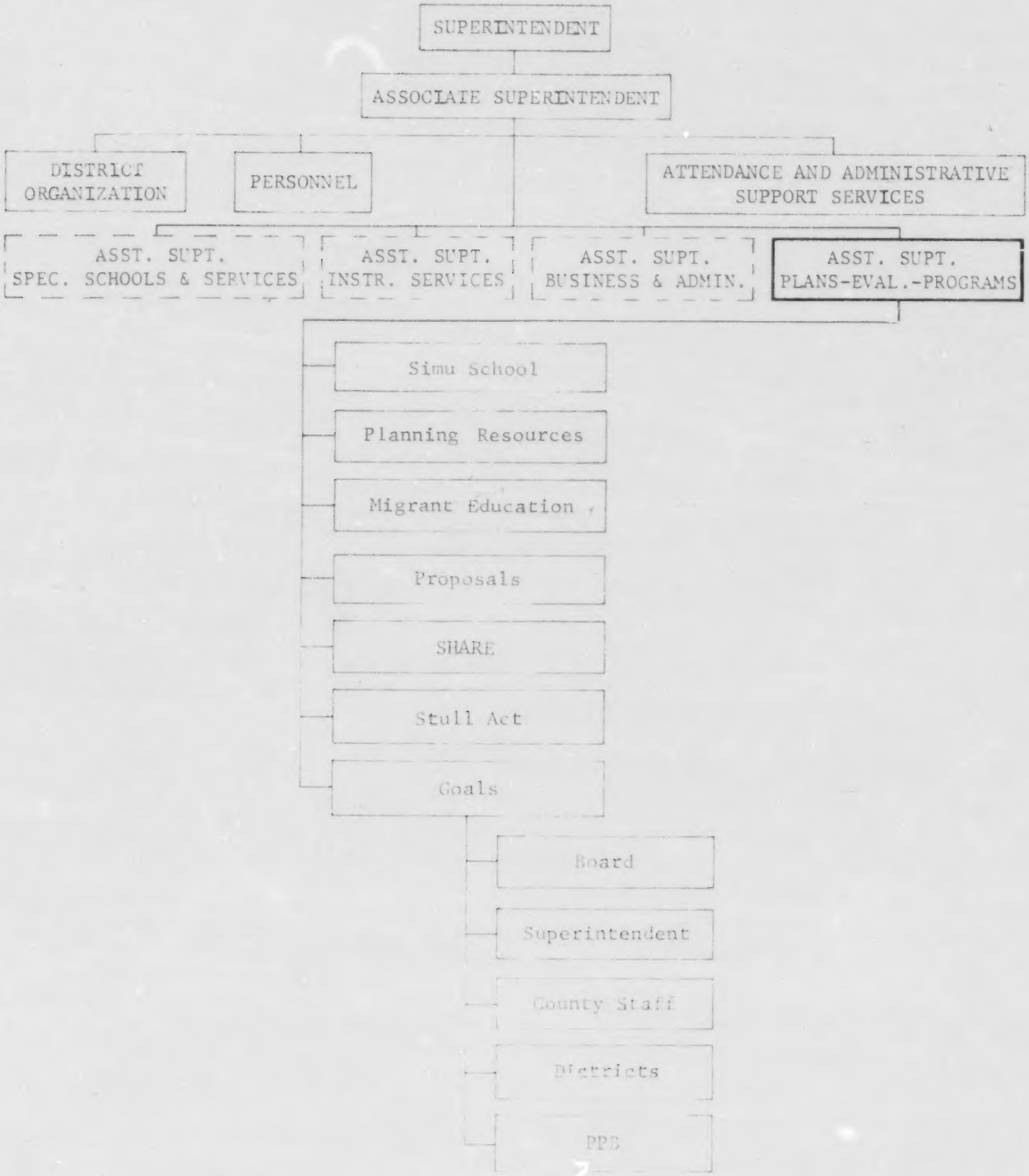
DIVISION FUNCTIONS
OFFICE OF THE COUNTY SUPERINTENDENT
SANTA CLARA COUNTY



7.2 Santa Clara County Office of Education Goals and Objectives Related to Planning

7.2.1 Tentative Board Goal Statement, March 1, 1972

#6 - To seek out and be responsive to the educational needs and desires of the citizenry of our county.

7.2.2 Administration Division

Goal - To provide support to school districts and to the County Office staff in the areas of administration, attendance, business, information, management and liaison.

7.2.3 Instructional Services Division

#6 - Version 1: To provide and utilize a data base for decision-making by school districts and county agencies, thereby eliminating duplication of effort, and thus maximizing educational resources of Federal, State, Local and private agencies.

#7 - To provide leadership for cooperative efforts on the part of all agencies serving students and their families in Santa Clara County.

#8 - To constantly improve its operations through the utilization of a continuous monitoring and evaluation system.

7.2.4 Special Schools and Services Division

#6 - To develop a decision-making data base for the identification of clientele and for continuous program development and change.

7.2.5 Planning, Evaluation, and Special Programs

(Established July 1973 - goals and objectives in process)

7.3 Project Simu School Goals and Objectives

Project Simu School is an ESEA Title III Project with three geographical and program components. It began as a single component in Chicago and expanded to include the Santa Clara County and Dallas, Texas Components (funded under three separate but related grants). The goals, objectives, and tasks of the Santa Clara County Component, now in its second year of operation, were set forth as follows:

Goals and Objectives

Two broad goals were adopted by the Santa Clara County Office of Education in the establishment of a component center for Project Simu School: (1) improvement in educational facility planning in the school districts of the County; and (2) development of planning processes which could be adapted for use by the national center. Representing an intermediate administrative unit in a rapidly changing area encompassing population centers ranging from rural to urban in development, Santa Clara was envisioned as a center which would complement the major urban center (Chicago). The Santa Clara component had three major assignments: to develop computer capability to expand the planning model(s) developed by Chicago; to build a data base to be used to test the planning processes which were to be incorporated into the prototype planning center; and to design planning processes to be used in communities changing from rural to urban characteristics.

Tasks

Major tasks projected:

(a) Develop a proposed "national system" for educational and facility planning, in cooperation with the Council of Educational Planners, International;
(b) Develop one or more planning process-models and test in at least two school communities in Santa Clara County, using historical base data and factors which study shows to have affected educational programs;
(c) Develop computer software to "massage" data to provide planning information;
(d) Prepare Staff Development Studies on some key aspects of educational planning;
(e) Plan and prepare for the continuation of a permanent Educational Planning Center in Santa Clara County.

7.4 Planning Resources Office Goals and Objectives

Established in 1972 under a two-year Ford Foundation Grant, the Planning Resources Office is an outgrowth of the Inter-District Planning Council. The focus of the grant is "... assisting ... in developing the practices and policies that will result in integrated housing and integrated schools."

Functions being performed include:

- Development of simulation-proved plans for alternative land use enhancing the concept of integrated neighborhoods;

- Providing information to school districts about changing land use and related policies;
- Coordination of planning between agencies such as city, county, transportation authority;
- Technical assistance to school districts in the development and implementation of master plans for development.

7.5 Center for Planning and Evaluation

This center continued many of the functions of the Santa Clara County PACE Center on a contract basis with school districts in the County after the state-wide system of PACE Centers was discontinued in June 1971. In June 1973 it was also discontinued.

The goals and sub-goals of this agency were as follows:

1.0 To provide evaluation services to school districts and other agencies.

1.1 To provide assistance in the design and implementation of evaluation and to assist in the development, selection, and layout of instruments for projects and instructional programs.

1.2 To provide assistance in the establishment of processes and procedures for data collection and to provide the appropriate inservice training in these processes and procedures selected by the participating groups.

1.3 To process and analyze the data as specified in the evaluation design.

1.4 To provide oral and/or written evaluation reports for various audiences as specified by the contracting agency.

1.5 To provide consultant assistance for any given activity in the general area of evaluation.

2.0 To conduct research in education and related fields and to develop research models.

2.1 To conduct searches and reviews of available literature as appropriate to the areas under study.

2.2 To develop appropriate research designs.

2.3 To develop/select suitable instruments for conducting a particular research study.

2.4 To provide assistance in the establishment of processes and procedures for data collection and to provide the appropriate inservice training in these processes and procedure selected by the participating groups.

2.5 To report the research results, orally and/or in writing to appropriate groups.

3.0 To provide independent educational audits to educational agencies.

3.1 To prepare audit plans and audit designs.

3.2 To implement audit designs.

3.3 To develop oral and written communications and reports as specified in the audit plans.

4.0 To provide assistance to educators in individualization of instruction programs.

4.1 To provide techniques and resources for the development/ production of individualized learning materials.

4.2 To provide consultant services on the design/modification of learning space to facilitate individualized instruction.

4.3 To develop operational strategies for a non-graded open classroom.

4.4 To conduct research into the effectiveness of individualized materials and strategies and arrangements of learning space.

5.0 To provide inservice training for educators in an area of particular interest to educators or in one or more of the following areas: Individualization, media validation, and evaluation techniques.

5.1 To plan inservice programs for a variety of education personnel.

5.2 To disseminate information about inservice programs to be offered.

5.3 To carry out inservice programs for education personnel.

6.0 To conduct studies in areas where a need for planning, development, research, or evaluation exists.

6.1 To develop, submit, and have funded at least one proposal designed to meet an identified educational need.

6.2 To carry out and manage the funded study.

7.0 To provide consultant services to obtain outside funding for special programs/projects.

7.1 To provide information to a client or prospective applicant on funding sources for a given proposal or proposal idea.

7.2 To make available and to interpret to a client or prospective applicant current guidelines of a particular funding agency.

7.3 To assist school districts and other agencies in the development of a prospectus/proposal to meet the specifications of a particular funding agency.

7.4 To develop, upon client request, a prospectus/proposal to meet the specifications of a particular funding agency.

7.5 To provide school districts and other agencies with a written and/or oral critique of written proposals.

7.6 To provide assistance to applicant agencies in contract negotiations.

8.0 To provide the administrative services necessary to permit CPE staff to meet contractual obligations and peruse areas of interest.

8.1 To develop contracts with clients that delineate tasks to be accomplished, an adequate time frame, and an appropriate fee and payment schedule.

8.2 To provide adequate support services for all of the Center's activities.

8.3 To develop and maintain an adequate and functional management information system.

8.4 To maintain a balanced budget.

8.5 To provide for an independent fiscal and management audit quarterly.

8.6 To establish and maintain an Advisory Council which meets at least quarterly.

8.7 To provide for professional self-renewal activities for all Center staff.

8.8 To collaborate with public and private elementary and secondary schools and institutions of higher learning in research and training activities.

8.0 Multi-Agency Aspects of Planning Services

A multi-agency approach to problem solving is not new. It has been tried with considerable success across the nation, especially in the social services fields. Some examples from The Potential Role of the School As a Site For Integrating Social Services, (Educational Policy Research Center, Syracuse University, New York, October 1972) are presented on the following pages:

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Name of School	Location	Level	Number of Students	Racial and Socio Economic Composition	Status	Services Offered	Major Funding Sources for Planning Construction and Operation
Human Resources Center	Pontiac Michigan	Elementary	1971 1972 1,400 ******* planned 1,800 2,000	38% black, 62% white	School is operating, social service facilities expected to be completed Spring of 1972	1) medical center 2) dental treatment 3) legal assistance 4) action oriented employment assistance 5) public welfare 6) family services including a daycare center 7) adult education 8) recreation for the community	1) Educational Facilities Laboratory 2) Mott Institute for Community Improvement 3) Neighborhood Facilities Grant – United States Department of Housing and Urban Development 4) local bond issue 5) State of Michigan Special Education Fund
Quincy School	Boston, Mass.	Elementary	800 students	Over 80% non white; primarily Chinese with blacks, Puerto Ricans, Cubans, and Armenians. Less than 20% white	Not under construction, will probably not be erected as planned	1) recreation for the community 2) health 3) branch of city hall 4) drop-in center for school drop-outs 5) day-care center [above refer to public component of a joint (public-private) occupancy building-private segment will consist of married student housing for Tufts/New England Medical Center]	1) Urban Renewal Funds 2) Boston Public Facilities Department 3) Tufts/New England Medical Center
Williams School	Flint, Michigan	Elementary	600 students	52% white, 42% black, 6% Spanish	3 planned components; school, city park, community services. All currently functioning.	1) community education including adult basic, consumer, job training and rehabilitation 2) school-community services including neighborhood meeting place, child care, juvinile delinquency programs, extension branches for community wide agencies 3) community health services including expanded school children's health services, referral services, planned parenthood, pre natal and well baby clinics, and dental clinic 4) community college 5) Spanish speaking information center 6) Probate Court 7) Flint Police Cadet Program	1) Flint Board of Education 2) State of Michigan Recreation Bond Bill 3) Flint Recreation and Park Board 4) Charles Stewart Mott Foundation 5) H.U.D.'s Neighborhood Facilities Act 6) H.E.W.'s E.S.E.A. Title III 7) Mott Program of the Flint Board of Education 8) Flint Recreation and Park Board (funds from the City of Flint Capital Improvement Fund)

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Name of School	Location	Level	Number of Students	Racial and Socio Economic Composition	Status	Services Offered	Major Funding Sources for Planning, Construction and Operation
Madison Park High School	Boston, Mass	High School (elementary also, see p. A 24)	5,000 students	Planned to be racially and socio-economically mixed although site is in all black area	Part of complex is under construction Completion as planned uncertain	Planned to be part of an "urban village" consisting of 1) elementary school, and a comprehensive high school 2) housing 3) commercial sites 4) social service facilities 5) performing arts center 6) public parking lots	1) H.U.D. and other relevant federal sources 2) Commonwealth of Massachusetts 3) Ford Foundation 4) City of Boston 5) private industry
New Haven Community Schools	New Haven, Conn	10 Schools Elementary and middle schools	21,000 students	57% black 9% Puerto Rican, 34% white	Program began in 1962	1) neighborhood centers for cultural and recreational life 2) educational centers for children and adults	1) Ford Foundation 2) O.E.O. Funding 3) Title I Funds 4) Aid to Disadvantaged children State of Connecticut 5) At present greatest percentage of community school costs paid by City of New Haven
John F. Kennedy School and Community Center	Atlanta, Georgia	Middle School (6 - 8)	1,000 Students	99% black; located in one of poorest neighborhoods in Atlanta; high unemployment, marginal housing; 25% of all residents have incomes below $2,000 per year	Opened March 1971	1) social welfare 2) day-care facilities 3) training for mentally retarded 4) social security 5) legal aid 6) municipal information services 7) vocational education rehabilitation programs 8) adult education and recreation programs 9) pre-kindergarten programs 10) senior citizens programs 11) housing code enforcement office 12) housing relocation services	1) Atlanta Public Schools 2) Private Foundation 3. H.U.D - Neighborhood Facilities
Thomas Jefferson Junior High School and Community Center	Arlington Virginia	Junior High	1,400 Students	racially mixed socio economic composition primarily middle class	Site under construction	1) adult education 2) recreation for the community	School bond issue
Technical Education Career Center and Human Resources Center	sans	upper level courses	Students from all high schools on elective basis		Site under construction	1) technical education for high school students and adults 2) full complement of health and social services	School bond issue

Name of School	Location	Level	Number of Students	Racial and Socio Economic Composition	Status	Services Offered	Major Funding Sources for Planning, Construction and Operation
Welfare Island (new community which will include a number of small schools integrated into the community)	New York City, New York	K – 12 Buildings will be separated in some cases, shared in others; "bases" will be the equivalent of students homerooms with one teacher/counselor for each group of approximately 30 students		25% low to moderate income 25% middle income 10% upper income 10% low income elderly 20% public housing ****** racially mixed	under construction (first new residents are to move in Fall 1973)	entire complex of services	1) Urban Development Corporation of New York State 2) The various NYC categorical departments (education, health, welfare, etc.)
Buffalo Water Front New community for 10,000 people	Buffalo Urban Renewal Area– Downtown	K 2 3 5 6 8	1,440	Mixed	1st housing units occupied- planning for school and community center ongoing	1) school 2) day care center 3) recreation facilities 4) arts and crafts facilities (shared with civic groups) 5) health care unit 6) private commercial i.e. neighborhood stores and restaurant 7) church (Presbyterian)	1) Urban Development Corporation of New York State (non-school capital costs) 2) Buffalo School Department

In Santa Clara County, mutual planning has also been undertaken for various aspects of social services. For example, it is not uncommon for school districts and cities to purchase adjoining properties for school/city recreation and park joint use; e.g., Santa Clara Unified School District and the City of Santa Clara. However, there has been very little joint planning/consultation in regard to land use patterns, mass transportation, and community goals and objectives.

In Santa Clara County, several multi-agency planning groups exist or have been planned; but they consist only of county and city groups, and exclude special-purpose districts and school districts. For instance, there is the Joint Cities-County Environmental Council for Santa Clara County, and the Inter-City Council. There is also the Planning Policy Committee of Santa Clara County (PPC), established in 1967 to

> serve as a discussion forum on planning problems, review the interrelationships of city and county general plans, advise the Board of Supervisors regarding periodic review and updating of the County General Plan, recommend ways to carry out inter-governmental planning proposals, publicize information about urban and rural planning, coordinate the work of many ad hoc project committees, and develop countywide planning policy in relation to regional plans and proposals being prepared by the Association of Bay Area Governments, the Bay Conservation and Development Commission, the Bay Area Transportation Study, the Santa Clara County Transportation Study, and the Joint Legislative Committee on Bay Area Regional Organization.
>
> (Source: Santa Clara County Plans, a bi-monthly newsletter of the Santa Clara County Planning Department, July 1970.)

Santa Clara County is also a member of regional planning agencies established to coordinate planning, e.g., the Association of Bay Area Governments (ABAG).

The conclusion which can be drawn from these few examples is that multi-agency planning can and does work to the ultimate good of those involved. The additional conclusion which can

then be drawn is that if multi-agency planning works for some units of government, why can it not work for these same units of government plus the school districts? It seems apparent that such multi-agency planning can occur to the mutual benefit of all parties if the proper roles, relationships, objectives, funding and organizational structure can be developed.

9.0 College and University Aspects of Planning Service

Because of the centralized organizational nature of the State University System, it appears that there is little interface possible in direct planning, especially as regards facilities, land use, etc. Mutual planning would seem to be limited to such areas as program planning and inservice training. The private universities such as Stanford and Santa Clara University also appear to be in that same category. In fact, because of the national scope of their programs and clientele, it is doubtful if any meaningful interface can be established on an official level. There are many opportunities, however, for mutual planning with staff members of such institutions.

Community colleges, on the other hand, are under the authority of local community college districts, and they serve a clientele within legally defined geographical attendance boundaries. It would appear, therefore, that such college districts could participate in and benefit from mutual planning endeavors.

10.0 State and Federal Planning Service Interfaces

10.1 Functions of the State Department of Education Relative to Planning

As noted in Section 1.0, the State Department of Education has undergone considerable reorganization upon the election of each new State Superintendent. The latest election was no exception, but in many ways the changes have been more extensive than before.

The functions of the State Department of Education relative to planning are summarized as follows (in preliminary drafts of master-planning documents of the Department):

2.0 Planning, Research, Development and Evaluation

Activities related to a systematic procedure for the functioning of the agency and component units as they are related to each other and to other agencies with similar goals and objectives for the purposes of (1) identifying needs, determing purposes, and making decisions regarding the means by which desired outcomes may be obtained; (2) making inquiries and searches to find better procedures to accomplish new objectives that appear to be desirable; (3) demonstrating promising innovation; and (4) making assessments and objective measurements of achievements or products:

2.1 Planning

Selection or identification of overall long-range goals, priorities and objectives of the agency;
Formulation of various courses of action in terms of identification of needs and relative costs or benefits for the purpose of deciding on alternative courses of action for achieving goals, priorities and objectives.

2.2 Research

Research regarding programs which are now being operated by the State educational agency or which it may operate in the future;
Research pertaining to the legal and organizational structure for the educational program within the State;
Research concerning methods of financing the educational program of the State;
Research concerning school buildings, sites, improvements, and equipment;
Research concerning the achievement of pupils throughout the State;
Research pertaining to the curriculum including content, methodology, media, and supporting services.

2.3 Development

Activities concerned with the establishment and operation of centers, statewide or regional, for demonstrating the use of results of research, for bringing about new and improved methods of research, and for bringing about new and improved methods of curriculum development and implementation;
Activities concerning use of all communication media to disseminate the results of study, research, and evaluation to the legislature, the educational community, and the general public.

2.4 Evaluation

Appraisal of previously specified data in light of a particular situation and the goals and objectives previously established (process evaluation which involves the several levels of governance of the State educational system and the organizational units within the State agency).

3.3 Administrative Consultative Services

Consultative services concerned with continuous diffusion of methods, procedures and practices essential to the implementation of tested improvements in educational administration;
Consultative services for the improvement of management in the specific areas of school plan facilities, pupil transportation, and school food services;
Consultative services concerned with the improvement of selection or identification of long-range goals, establishment of objectives, formulation of courses of action, and evaluation of cost effectiveness of actions;
Consultative services concerned with the financial and business operations of the district.

4.3 Data Systems

Activities concerned with the establisnment and maintenance of a system whereby a comprehensive collection of data, usually in machine-usable form, can be used for purposes such as management, reporting and research.

In 1968, pursuant to a study by the Arthur D. Little Company entitled A New Organizational System for State-Level Educational Administration, a Division of General Education was adopted which included a new instructional planning section composed of three bureaus, two of which were new: Bureau of Evaluation and Educational Research and Bureau of Program Planning and Development.

The study set forth the general functions to be performed by the State Department of Education, as follows:

> From our analysis we conclude that the State-level system of educational administration in California must effectively carry out the following seven broadly-defined major functions:
>
> 1. Sensing emerging needs for educational development in the State, and for related changes in the State's educational system.
>
> 2. Assigning priorities and allocating resources among areas of discovered need in the context of comprehensive and integrated State plans for education.
>
> 3. Providing for the design in improved instructional programs and services, and for the stimulation and support of new educational developments to meet the discovered needs.

4. Evaluating both new and established educational programs and services, the ways in which such programs and services are planned and administered, and requirements for redirecting allocations of human and material resources.

5. Facilitating the dissemination of information regarding new instructional programs and services and their effects.

6. Encouraging and supporting the adoption of new educational developments and improved instructional programs and services.

7. Assuring the quality of educational offerings in accordance with legislative mandates and as required by regulations of the State Board.

The new structure was designed to carry out these functions.

In 1971 another change was made in the establishment of the office of Program Planning and Development. As stated in internal planning materials of the Department:

Planning is a program responsibility. Line managers should be intimately involved in the preparation of all program plans.

It is the policy of this Department that the substance of plans will come from the deliberations and decisions of program managers. It is intended that the Office of Program Planning and Development will assist management to institutionalize planning as a regular part of the management function. That office will also assist, through definition of planning structures and processes, consultation, advice, training and processing monitoring. However, program plans will basically be the product of program people.

Functions and Responsibilities:

The Office of Program Planning and Development reports directly to the Office of the Superintendent of Public Instruction and has primary responsibility for the effectiveness of the planning process. Specifically they are responsible for seeing that there exists within the Department a comprehensive and reasonably uniform set of plans for the entire agency including:

- a long-range master plan;
- a detailed set of medium-range (3-5 year) plans covering all major programs;
- short-term plans for annual budgets and programs with short-range terminal objectives;
- plans for dissemination of planning techniques, replicable planning models and related information.

In addition, they will conduct planning studies and investigations related to the future requirements of California education, extrapolation of present trends, prediction of long-term consequences of current decisions and sensing the environment for further opportunities and problems.

Duties include:

1. Assisting the Office of the Superintendent to develop, document and periodically update a long-range master plan.
2. Developing, documenting and revising required planning procedures, guidelines and models to insure uniform planning quality and conformity for all departmental programs.
3. Assisting program managers in the development of program planning statements through consultation and training.
4. Development of a program planning calendar highlighting planning deadlines, events and necessary activities.
5. Monitoring the planning processes of the Department for conformance with guidelines and the planning calendar.
6. Researching issues, trends, problems and opportunities critical to the policy development of the Department.
7. Coordination, review and monitoring of program planning activities by departmental organizations to insure elimination of areas of program duplication or overlap and the appropriateness of such planning to meet authorized departmental goals and objectives.

The major emphasis for this new office was on internal planning for the State Department.

In 1973 a new reorganization has taken place in the State Department of Education, the three major segments being the executive

office, education program administration, and the administrative units. The executive office includes the Office of Program Planning and Development, the Office of Program Evaluation and Research, and the Governmental Affairs Office, all established in 1971. The offices of Planning and Evaluation were established to design the plans and evaluation processes for the internal accountability of the Department. Again, from draft copies of planning materials, the functions were defined:

> A primary function of the Office of Program Planning and Development is the development of a master plan for the entire Department. The plan will allow both professionals and laymen to see what the Department expects to accomplish and how. It will provide the framework for Department programs and serve as the basis for accountability.

A major responsibility of the Office of Program Evaluation and Research is the assessment of performance, both within the Department and statewide.

Internally, the evaluation office sees to it that all Department programs have built-in evaluations. Through quarterly reports, the office checks to see if program objectives are being met efficiently; if the office finds that objectives are not being met, it determines the reasons. It also coordinates all evaluations to prevent overlapping. In other words, the office provides a clear accounting of the relationship between money spent and student progress.

Through improved processing methods, the Office of Program Evaluation and Research will provide faster reporting of state testing results to school districts, cutting almost one year off the previous time lag between the collection of data and the publication of the final report. The office also has the capability of providing better analyses of data than the Department was capable of providing in the past and for making comparisons of evaluative data from units within the Department and from state and federal sources.

Plans for the future call for the establishment of a management information center in the evaluation and research office. The center would serve as a central source of information on (1) the Department's programs; (2) comparisons of one study with another; and (3) analyses of statewide testing data.

The Governmental Affairs Office provides coordination of all state and federal legislation. The Office of Communication will be responsible for improving Department communication with school districts, offices of county superintendents of schools, parents and students, and the Legislature. The Legal Office has the continuing responsibility for handling the legal affairs of the Department.

Program Administration and the Matrix

Recognizing the important role the Department must assume in helping school districts improve instructional programs, the Superintendent is most concerned that the organization of the Department be designed to facilitate the development of strong educational programs. Under the new organizational plan for the Department, an exciting team management structure called "matrix management" is being created. And this management pattern will enable the Department to take what were previously separate threads in its organization and weave them into a fabric capable of providing a more complete educational covering for each student's education.

The matrix instructional programs will be organized along these age-span lines: early childhood, intermediate, and secondary/adult education. This follows the same organizational pattern of most school districts. Also within this matrix are the various categorically-funded support activities: general education, occupational preparation (vocational education), special education, and compensatory education. (See Figure 1)

The education program administrator heading the matrix will supervise and coordinate all of the activities of the age-span and support managers, who together will form the Department's Education Program Council. For example, bilingual education would no longer operate as an isolated unit. Bilingual goals and objectives can readily be put into action programs and coordinated through the team management approach of the council. The council would be charged with making certain that bilingual goals and objectives were being met at each age-span (early childhood, intermediate, and secondary/adult) through the appropriate support activities (general education, occupational preparation, special education, and compensatory education).

What will this team management "matrix" approach mean to California's Department of Education? There are five major advantages:

- Elimination of overlapping and duplicating of categorical aid programs and the resolution of conflicts in policy. (Overlapping program jurisdictions in the past sometimes led to fragmentation of services and to contradictions in the instructions given to school districts.)

- Coordination of resources in the development of total programs.

- Opportunity to consolidate and standardize guidelines and application procedures.

- Joint discussions from many points of view on a common problem, which should result in the improvement of the quality of education offered to students.

- Identification of a single administrator that school district officials and county superintendents can talk to about developing a total educational program for any age group.

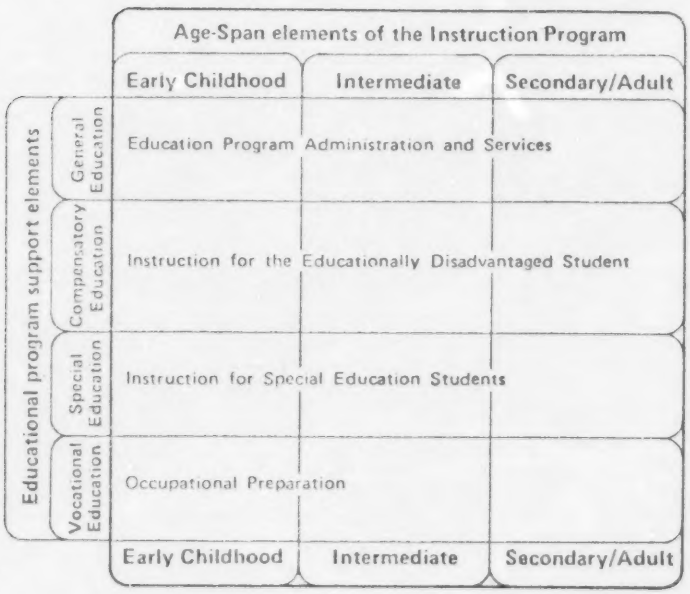

Fig. 1
Department of Education's Matrix
of Educational Management for the
Instructional Programs

Administrative Units in the Department

As support for the matrix system, the Department placed in operation on November 1, 1972 a new organization for those responsible for administrative and fiscal management. In this organization the Deputy Superintendent for Administration is responsible for consolidating and coordinating all internal fiscal and administrative functions of the Department and is also responsible for all apportionment, distribution, and administrative management services to school districts and county superintendents' offices.

Success Dependent on Department Employees

The Department is thus moving toward improved program management which cautiously maintains respected traditional management practices while embracing a new mechanism called matrix management. But the reorganization structure is only a "vehicle" for effectiveness. The "driver" is the manager himself. The success of the system depends upon him and all those responsible for maintaining the "vehicle" and helping the "driver." The change in structure must be accompanied by a change in management style. The new style must be one of team management. This will, of course, take time. Managers and Department employees at all levels will need to commit a significant amount of their time to team-building activities and the new management process.

The challenge that lies ahead to establish a new organizational structure is great. But the Department will meet that challenge because it means the kind of departmental flexibility that is required to do the job. And for the Department, that means the job as a spokesman for public elementary and secondary education in California, together with the State Board, the Legislature, and the Governor; as the leader in the efficient administration of state resources; as the leader in developing and coordinating effective educational programs; and as an "advance man" for school districts in new areas of educational endeavor. It means a State Department of Education that is helping provide better education for the children of the state.

10.2 U. S. Office of Education

The Department of Health, Education and Welfare has been and continues to be in a state of flux. Currently the U. S. Office of Education is endeavoring to establish regional offices which will have decision-making authority on federal programs within the states served by such offices. Up to this point, planning assistance to local school districts and county offices of education by the federal government has been limited to periodic workshops in planning and individual assistance to project managers about their specific projects.

It seems very doubtful that the federal government would become a member of any planning body. An interface should be maintained, however, with the developing regional offices so as to keep abreast of planning trends and financial allocations.

11.0 Summarizations and Conclusions on Content

1. There is currently an overlap of functions of agencies planning in the same area.

2. There is a lack of communication between and among planning agencies so that planning is often completed without consideration of the impact of such planning on other agencies.

3. The planning functions of the state and federal governments do not overlap those of local school districts or county offices of education.

4. Assistance to school districts and county offices of education in the area of planning is not now provided by either the state or the federal government nor does it appear that it will be provided in the foreseeable future.

5. School districts, city and county planning departments, community colleges and private, nonprofit planning agencies perceive a real need for a coordinated planning service.

6. Functions most generally seen as of high importance for a multi-agency planning center to perform include:

   - data collection, analysis and dissemination in a format appropriate to the receiving agencies;
   - coordination of planning between and among various agencies
   - developing community/school goals, needs and priorities;
   - providing planning expertise to local agencies;
   - providing training in planning to school and agency personnel.

12.0 Summarization and Conclusions on Organizational Structure

In June 1970 the California Council on Intergovernmental Relations published a document entitled Allocations of Public Service Responsibilities. Appendix A of that document sets forth suggested criteria for policy choice, providing funds, and administration of Public Services, as follows:

12.1 Criteria for Policy Choice, Providing Funds, and Administration of Public Services

Criteria for determining at which level of government policy choice regarding public services should be made:

Policy choice is the determination of the kind and extent of public purposes to be pursued. Policy choice regarding public programs should be at that level of government which largely encompasses the source and solution of the public problem (benefits from the service consumed mostly within its boundaries)..

1. Geographic coverage of problem area.

2. Fiscal ability to assist in if not solve the problem to the level approved by the public through their representatives.

3. Responsive to public attitudes in determining public policy.

4. In a position to make priority choices among wide-range of public problems confronting that level of government (General Purpose Government).

5. Administrative ability to implement policy choices either through contract or direct provision of services.

6. Legal authority to make policy and perform services or contract for them.

Criteria for determining which level of government should finance public services:

The level of government which determines the kind and extent of public purposes to be pursued is the one which should be able to and should assume major responsibility for adequately and equitably providing funds.

1. Where it is practical to identify the beneficiaries of government services, user fees for the total cost of the service should be made. Services having easily identified benefit recipients are power, water, subdivision roads, and refuse collection.

2. Where individual actions cause collective hazards, the burden for preventing and controlling such hazards should be paid for by those causing the problem. For example, the cost of air pollution control should be paid for by those causing the pollution; the cost of sanitary disposal of sewage and refuse should be assumed by those producing the waste. Court costs for traffic control could well be paid for out of fines to violators.

3. Where widespread as well as individual benefits result from a service, it should be financed, at least in part, by the larger governmental bodies. Such services include education, planning, welfare, housing, and health services for indigents.

4. When public services benefit a limited jurisdiction and user charges are impractical, revenues should be collected from the local political jurisdiction which most closely approximates the benefit area. Examples of such services are local roads, local land use and local planning, libraries, police and fire protection, some large and most small parks, and enrichment of statewide programs.

Criteria for determining which level of government should administer public services:

Government services should be administered at that level which is legally and administratively capable of providing services within a price range and at a level of effectiveness acceptable to the public representatives determining policy.

1. Capable of close contacts with client group and solution of public problems related to these groups.

2. Sufficient size for administrative efficiency and effective delivery of services.

12.2 The "Organic Diamond" As Organizational Structure

In a paper presented to the National Association of State Boards of Education (Salt Lake City, October 9, 1968), Dr. Conrad Briner, Professor of Education, Claremont Graduate School, Claremont, California, recommended what he termed an "organic diamond" with a program axis and an administrative axis. This recommendation was made to the California State Department of Education in designing an organizational structure for its Compensatory Education Act implementation. The major advantages of such a structure were detailed as follows:

The concept of the organic diamond with the program axis cutting across divisional organizational boundaries to form multi-disciplinary task-oriented teams encourages and even forces a broader departmental view of educational issues and problems as opposed to a divisional bureau or particularistic view. It discourages the tendency to take a narrow or parochial view of the department's role, it stresses the need for improved inter-divisional communication and planning, and it requires the application of modern management methods and techniques.

The proposed organic structure provides increased opportunity for much needed professional personnel development. It is possible to allocate only a portion of a person's available time into a single task, thereby allowing him to work on several concurrent tasks. By proper planning an individual can shift from one type of assignment to another of quite different demands so that his job experience is broadened and varied. Training experiences specifically appropriate to the needs of individual professionals should be identified and provided. By working on several programs and projects the individual is able to work for several supervisors and with team members possessing different skills. He can learn from their varied capabilities, thereby adding to his own versatility.

The competition among major program managers and division chiefs for the best staff will cause those persons who perform most successfully to be in much demand, and those who perform poorly to be unsought. This provides important information for use in salary administration, in assigning tasks, and in planning development experiences for individual staff. In addition, the internal competition for staff with recognized capabilities will require division and bureau chiefs to justify their reluctance to release key staff to important programs by demonstrating how such staff are critical to the achievement of specific objectives related to an established hierarchy of priorities. This is another demonstration of the value of good program planning.

Inherent in this organizational scheme is considerable potential for more flexible and varied use of professional staff. Effective exploitation of this potential requires a style of leadership and followership new to most departments. A professional may work for two or three managers

on different programs going on at the same time. Organizational myths notwithstanding, it is quite possible. Scientists, researchers, consultants and engineers who work on various development teams or task forces have demonstrated that it can work and to the organizational health and benefit of the enterprise.

12.3 Matrix Organizational Structure

In July 1973, the State Department of Education adopted a matrix-type organizational structure for those in the Department having responsibility for the instructional programs in schools. The basic elements of such an organization are set forth in Section 10.1.

The matrix organization is not new but has been in operation in the aerospace industry since the early 1960's. Its adaptation to government, however, is fairly recent. An example of a matrix in industry is described in Systems, Organizations, Analysis, Management: A Book of Readings, David Cleland and William R. King (New York, McGraw-Hill, 1969, pp. 23-25).

> A matrix organizational design has evolved in the flow of aerospace technology; changing conditions have caused managers to create new relationships of established organizational concepts and principles. A matrix organization is used to establish a flexible and adaptable system of resources and procedures to achieve a series of project objectives. The figure on page 77 is a conceptual framework for a matrix type of organization. It illustrates the coordinated or matrix system of relationships among the functions essential to market, finance, and produce highly specialized goods or services.
>
> From a divisionalized organization structure has emerged a new way of thinking and working to create products dependent upon advanced research and urgency for completion. Time and technology factors forced a more efficient utilization of human talents and facilitating resources.
>
> The traditional divisional type of organization permits a flow of work to progress among autonomous functional units of a specific division. A division manager is responsible for total programs of work involving the products of his division. In a matrix organization, the divisional manager has the same responsibility, authority, and accountability for results. Differences occur in the division of work performed as well as in the allocation of authority, responsibility, and accountability for the completion of work projects.

If work performed by an operating division of a company is applied to standardized products or services with high volume, there is no need to consider a matrix organizational design. The total work can flow through the division with each functional group adding its value and facilitation to the completion of the production process. The total work can flow along and among the functional groups of production to a market. The emphasis is on the efficiency of the flow of work.

It is when work performed is for specific project contracts that a matrix organization can be used effectively.

A matrix type of organization is built around specific projects. A manager is given the authority, responsibility, and accountability for the completion of the project in accordance with the time, cost, quality, and quantity provisions in the project contract. The line organizations develops from the project and leaves the previous line functions in a support relationship to the project line organization.

The concept of a matrix organization entails an organizational system designed as a "web of relationships" rather than a line and staff relationship of work performance. The web of relationships is aimed at starting and completing specific projects. An overall divisional function of resource allocation for multiple projects determines the priority of resources for specific projects and measures progress against contract requirements.

Management by project objectives or results is [illegible]mount to the way of thinking and working in a matrix-type of organization. The group organizational personnel perform the line, operational work to complete the project. The department functional personnel give support assistance to the line projects such as policy guidance, technical advice, and administrative services. In a matrix organizational chart, the line operations may be illustrated horizontally as the functional groups are aligned to achieve a specific project (see Fig. 2). The support assistance from the functional departments appears vertically in relationship to the series of projects undertaken by the division.

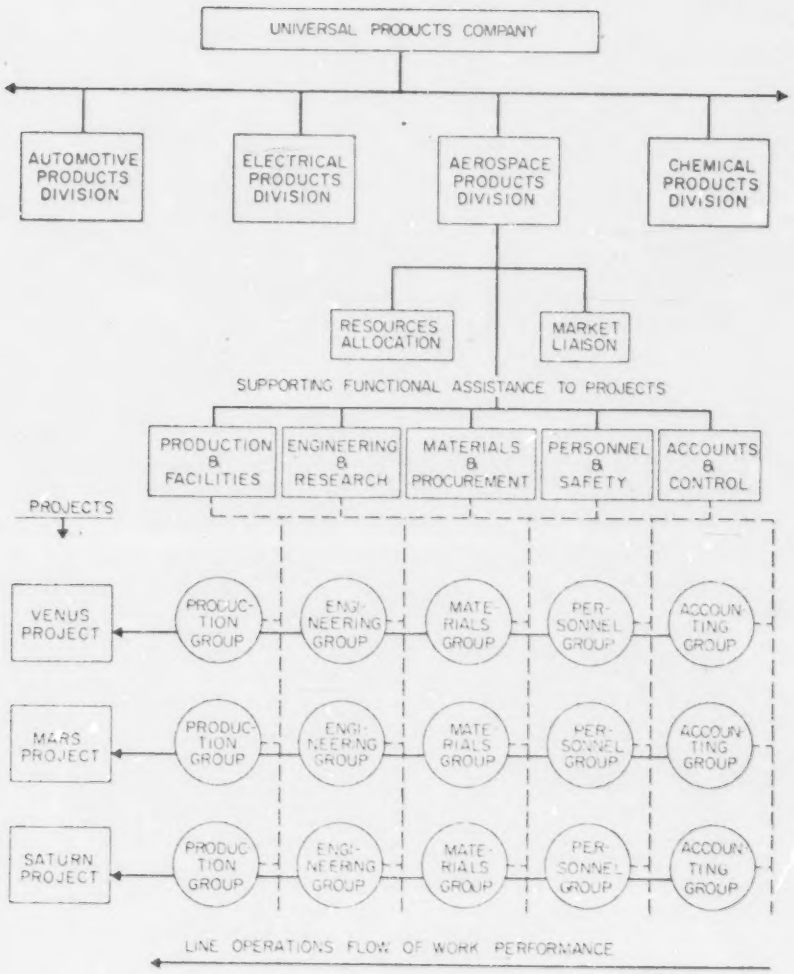

Fig. 2

Matrix Organization
(Aerospace Division)

12.4 Guidelines for Planning Center

A general summarization of the research studies, trends, and survey responses indicates the following basic guidelines:

1. The intermediate unit of education is a critical part of the three-level system of education in California even though the organization of the intermediate unit on county lines appears not to be the most effective type of organization.

2. Local planning agencies and units are important and becoming critical.

3. Different agencies collect, analyze, and disseminate data but there is no overall coordinative data collection and analysis agency in Santa Clara County.

4. Local planning units desire to remain autonomous but also desire a cooperative approach to many of their problems.

5. Any structure of governance must be representative of the agencies it serves.

6. A cross-agency or cooperative approach has been and is successful in some areas of government.

7. Planning is a service whose use cannot be ascribed or whose effect cannot be limited to a particular client; therefore, it must be funded on a general government basis.

8. Outside of two or three ongoing functions, much of the work of a multi-agency planning center would be on an ad hoc or project basis.

9. Planning is best done <u>with</u> people rather than for people.

10. A matrix-type organizational structure is suitable for a multi-agency planning center.

11. The experience with matrix-type or "organic diamond" organizational structures has been generally favorable.

13.0 Recommendations - Content

The overall objective of the Planning Center would be: To assist local educational and governmental agencies to plan their use of resources in the most effective manner for achieving the goals of the agencies and communities they serve.

Specific functions and activities would include but not be limited to:

a. Data Bank - Providing a data bank maintaining current information arranged, analyzed and reported to clientele in a format meeting their needs. This would require a restructuring of census tract information to make the data congruent with school district or other agency boundaries.

b. Needs Assessment, Goals Determination, Problem Identification Assisting school districts, cities, the county, and agencies therein to determine the needs of their organizations or communities in an interrelated manner so that community goals and school goals can be congruent rather than in opposition.

c. Planning Assistance - Providing direct planning assistance to organizations unable to provide it themselves or where such assistance can be more effectively provided outside the agency.

d. Coordination - Assisting in the coordination of planning efforts, including providing communication channels and participating in planning networks, as appropriate.

e. Inservice Training - Providing training in planning to local organizations and agencies to develop expertise on the part of staff members.

f. Forecasting - Identifying trends, priority shifts, and social changes and sharing this information with local and state planners so that all planning agencies can have access to forecasting data.

g. Evaluation - Program evaluation is a basic component of goal achievement. A service of this nature is a basic requirement in any planning endeavor.

14.0 Recommendations - Organizational Structure

Many alternative organizational structures were reviewed and set aside. Two alternatives were finally developed and are set forth here in priority order.

The second alternative is provided in the event the necessary arrangements for funding and joint effort cannot be obtained with the county general government. Although the first alternative is more desirable because of a greater commitment and cooperative effort, the actual operation of the center would be basically the same under either alternative.

14.1 Alternative #1:

That a multi-agency planning center be established in Santa Clara County with the following organizational elements and structure:

a. As an integral part of the County general government and County Office of Education.

b. Funding to be provided by the County Superintendent of Schools and the County General Fund on a 50/50 basis.

c. Organizationally placed inside both the regular County Schools and County General Government structures with the director reporting to both the Superintendent of Schools and the County Planning Department for financial and operational accounting and to a representative program board for program accounting.

d. The relationships of the planning center to other parts of the County Schools Office and the County Planning Department would be those of a non-operational staff position functioning as a colleague of other personnel.

e. The program board to be composed of representatives of the County Schools Office, school districts, county planning department, city planning department and nonprofit planning agencies such as the Social Planning Council plus others as deemed appropriate by the board. The board not to consist of more than eleven members with the County Superintendent and the County Planning Department Director or their designees functioning as regular members.

f. The Planning Center to operate within a matrix-type organization with resource allocations representing one side of the matrix and program determinations representing the other.

Personnel of the Planning Center would be assigned to specific projects (either County Schools, County Planning Department, or client organization projects) to help project members assigned by other agencies plan and develop such projects (including installation plans, where appropriate). Upon completion of the planning and development phases the Planning Center personnel would be reassigned.

g. Advisory Committees to be established by the program board to provide a communications and linking function with all school districts in the county (including junior college districts), other institutions of higher education, and other planning agencies.

14.2 Alternative #2:

That a multi-agency planning center be established in Santa Clara County with the following organizational elements and structure:

a. As an integral part of the County Office of Education.

b. Funding to be provided by the County Superintendent of Schools budget.

c. Organizationally placed within the regular County Schools Office structure with the director reporting to the Superintendent of Schools for financial and operational accounting and to a representative program board for program accounting.

d. The relationships of the planning center to other parts of the County Schools Office would be those of a non-operational staff position.

e. The program board to be composed of representatives of the County Schools Office, school districts, county planning department, San Jose City Planning Department, and nonprofit planning agencies such as Social Planning Council, plus others as deemed appropriate by the board. The board not to consist of more than eleven members, with the County Superintendent or his designee functioning as a regular member.

f. The Planning Center to operate within a matrix-type organization with resource allocations representing one side of the matrix and program determinations representing the other. Personnel of the Planning Center would be assigned to specific projects to help project members assigned by other agencies plan and develop the project. Upon completion of planning and development phases, the planning center personnel would be reassigned.

g. Advisory committees to be established by the program board to provide a communications and linking function with all school districts in the county, institutions of higher education, and other planning agencies.

14.3 Matrix Organization Representing Team Approach to Planning

PROGRAM DETERMINATIONS AND CENTER ALLOCATIONS

(Suggested Functions)

ALLOCATION OF NON-CENTER RESOURCES

	Data Bank Including Analysis & Dissem-ination	Needs Asmt -- Goals Det. -- Prob. Ident	On-going Center Functions*	Special Projects
County Schools				
School Districts				
County Gov't				
City Gov't				
Agencies				

- The Program Board determines program and project priorities.
- Resources are allocated within budget limitations of funding agencies and Planning Center.
- Planning is then accomplished by Task Forces composed of personnel from involved agencies, districts, cities, county, and county schools with planning assistance provided by Planning Center. The Task Force/Planning Center relationship is not a supervisor/employee relationship, but a relationship of colleagues.

* E.g., coordination, forecasting, direct planning.

14.4 Anticipated Consequences of Alternatives #1 and #2

Consequences for On-going Programs	It is anticipated that a major problem will be that of linking the Planning Center to the on-going programs and the organizational structures which support these programs. Without carefully thought-out, deliberate linking procedures, the Planning Center will either: 1) become abrasive, which will result in the establishment of defensive and possibly even retaliatory mechanisms by the agencies; or 2) be largely ignored and therefore unproductive. These linkage problems will obviously be more extensive under alternative #1; however, the chances for a successful linkage with all agencies are significantly greater under alternative #1 because of the commitment of the county government to the success of the Planning Center and because of the credibility the County Planning Department has with other governmental agencies.
Personnel	Because the Planning Center will have skilled planning personnel and thus serve as a model, it is anticipated that local agencies may well move in the same direction. This may intensify the present shortage of such personnel. It will provide opportunities, however, for Center planning staff to train local agency personnel in planning techniques. Another obvious problem is the acceptance of planners with educational agencies, which are generally not as familiar with such personnel as are government agencies. A critical area, therefore, will be the selection of planners who have or can quickly obtain credibility with all agencies to be served. Alternative #1 can assist in this "instant credibility" through the participation of the County Planning Department in the selection of the Planning Center personnel

Finances	Either alternative will require the same amount of county tax funds. Because the county general government shares the total cost under alternative #1, the impact on the County Schools budget will be half as great as under Alternative #2. One very important consideration should be the ability to attract other funds, especially federal and foundation monies. This attraction will undoubtedly be greatly enhanced under alternative #1 because of its cross-agency structure and governance. The federal government especially holds multi-agency planning in high regard at the present and requires such comprehensive planning in many of its programs.
Political Consequences	Both alternatives envision a decentralization of decision making in that the power to make program decisions is not vested in present authority but in a program board whose makeup is as yet undetermined. With the present trend to shared decision making, this could be seen as a positive aspect. Some vested powers, however, will undoubtedly view it as "giving up power." Alternative #1 calls for this shared decision making to be delegated by two governmental entities (county schools and county planning department) whereas alternative #2 provides for delegation by the County Schools Office alone.

Role Change	At the heart of this entire proposal is a change or emphasis away from education as schooling and the province of the duly anointed schools, and toward education as learning and the province of the entire community. It is no secret that zoning laws and land developer decisions help create segregated communities and, as a consequence, segregated schools. It is also readily apparent that schools have been allotted a major role in providing equal educational opportunities for all students regardless of where they live or the kind of home or community environments in which they live. A Planning Center under either alternative will, of necessity, seek to broaden the view of both the educational agencies (e.g., the home and the community share in the educational enterprise) and the governmental planners (e.g., the decisions they make vitally affect the capability of the schools to provide these equal education opportunities).
Geographic	Alternative #1 calls for very close liaison with the County Planning Department on a continuing basis. For this reason, such a center should ideally be near both the County Planning Department and the County Schools Office. Alternative #2, because of its funding solely by the County Schools Office, would require a location near the County Schools Office. In either case, however, it is vital that the Planning Center maintain close "human" distance to all agencies it serves. Without this close "human" distance, the Center will be ineffective.

14.5 Special Considerations

The further development and implementation of either alternative #1 or #2 assumes the need for direct county tax support funding on a continuing basis. Such funds, however, could well be utilized as seed funds to obtain federal and/or foundation funds to assist the Planning Center in achieving its objectives.

It should be stated also that either alternative will require development and installation plans including inservice meetings of present staff members of participating agencies in order for the Center to become an effective part of the agencies it serves.

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APPENDIX A

MAJOR RECOMMENDATIONS
MADE IN THE PAST TWENTY YEARS REGARDING
CHANGES IN ROLES, RESPONSIBILITIES AND FUNCTIONS
OF COUNTY OFFICES OF EDUCATION

prepared by
the

SANTA CLARA COUNTY SUPERINTENDENT OF SCHOOLS

June 1972

This review is by no means intended to be exhaustive. Only the eight documents listed in the bibliography were examined. The 1954 Stayer report was the earliest publication reviewed; the latest reports were published in 1971.

All eight of the documents address themselves to several topics relative to the intermediate unit: role, organization, functions and methods of financing and administering. Each of these topics will be dealt with in turn and the recommendations of each report summarized. Reports are identified by year followed by a number in parenthesis which refers to the bibliographic entry.

Role of the Intermediate Unit

1954 (19) The county office is an intermediate unit of administration representing the state in maintaining standards, and the county, particularly in small districts, in the development of an educational program.

1964 (15) There is clear need for some form of intermediate unit to function as a regional extension of the State Department of Education as a focal point for interdistrict services and collaborations and as a vital link in the process of planning educational development in California.

1966 (7) It is essential in California that there be an intermediate unit operating between the individual school districts and the State Department of Education. Its major function is to serve as a coordinating and regional service agency for the local districts. There is a need for a unit with the responsibility and ability to cope with new problems and implement new programs.

1971 (1) The intermediate unit is required as an integral part of the California State system of public instruction in order to improve the services of and working relationships between the state educational agencies and local school districts.

Organization of the Intermediate Unit

1954 (19) With the professionalization of the office of county superintendent of schools, a professional county board of education is no longer needed; rather, there is a need for lay advice and control.

1954 (19) A lay county board of from five to nine members should be elected at large on a nonpartisan ballot and serve relatively long, overlapping terms.

1954 (19) The lay county board should select the county superintendent of schools. His term should be from four to six years or at the pleasure of the board. His staff should be nominated by him for appointment by the board.

1955 (19) The Legislature should provide that the powers vested in the present county board of education, now composed largely of professional persons, shall be vested in a county board constituted of lay electors in the county.

1964 (15) Although the need for intermediate administration is clear, it does not appear necessary to base the intermediate unit on county political boundaries, nor is it necessary to pattern its functions on the model of the present office of the county superintendent of schools.

1966 (7) It is recommended that each of the six regions of the state submit ... by July 1, 1967, a plan for its region which will best serve the children of California by providing the most dynamic and effective intermediate unit arrangement; that pilot programs be conducted which operationally unite county school service fund programs into an intermediate unit which encompasses more than one county; that the law be changed to permit two or more counties to have one intermediate unit board of education which would be elected from the entire area; that the intermediate unit superintendent be selected by the intermediate board of education to serve the area.

1971 (10) A constitutional amendment should be initiated to eliminate the office of county superintendent of schools and county board of education. There should be established ... regional offices of the State Department of Education, not to exceed fifteen, to which would be assigned all necessary functions of the present county offices.

1971 (10) Each regional office would be headed by a regional superintendent appointed by the State Board of Education, recommended by and responsible to the State Superintendent of Public Instruction.

1971 (10) All employees of the State Department of Education, including the proposed regional offices, should be employed on an annual contract basis, as needed, and be retained based on performance criteria, thereby eliminating civil service status.

1971 (13) Eliminate the county superintendents of schools and the corresponding county boards and replace them with regional education districts not restricted in size to the boundaries of a single county.

1971 (13) The Legislature should direct the State Board of Education to develop a plan to merge the 58 existing county offices into regional education districts.

1971 (1) The criteria for configuration of the intermediate unit should be broad in order that a variety of clientele needs can be served.

1971 (1) The chief executive officer and staff of the intermediate unit should be professional educators with broad backgrounds of education and experience.

Functions of the Intermediate Unit

1954 (19) The functions of the office of county superintendent of schools should be restudied. When the role was first established in California, the superintendents' duties were mainly clerical; today the role requires "the highest type of educational leadership."

1954 (19) The county office should make available to small school districts services commonly provided in city school districts and in the larger unified districts.

1954 (19) The services of the office of county superintendent of schools should vary from county to county: in more sparsely settled counties, the superintendent should accept full responsibility for administration of the educational program; in more populous counties, the superintendent will provide direct services to the smaller districts and coordinate the work of the larger school districts and operate as an agency for the leadership of their local administrators.

1954 (19) The county superintendency ... has a possibility not yet fully realized of acting as the center which will involve on a voluntary basis the most competent professional workers from local school districts in the study and research necessary for the improvement of public education.

1955 (3) Legislation should be adopted authorizing the county superintendent, with approval of the county board, to provide for the coordination of courses of study and guidance, health, special education, attendance and school business administration activities in the school districts under his jurisdiction.

1955 (3) The Legislature should authorize the county superintendent of schools, with the approval of the county board of education, to provide for the preparation of courses of study for those districts under his jurisdiction that are subject to the courses of study adopted by the county board, and to enter into an agreement, at the request of any school district, to provide for the preparation of courses of study for the district, with the district paying full costs for the courses of study.

1955 (3) Legislation should be adopted authorizing the county superintendent to provide supervision of instruction in elementary school districts with less than 901 ADA and in elementary schools of unified districts having less than 1501 ADA, and to contract with larger districts for services in supervision of instruction.

1955 (3) The Legislature should authorize the county superintendent to conduct research projects in connection with the curricular and other services which he is authorized to perform and which are approved by the county board.

1955 (3) The Legislature should authorize the county superintendent, with the approval of the county board, to conduct guidance services in elementary school districts with an ADA under 901, high school districts with an ADA under 301 and in unified districts with an ADA under 1501, and to contract with any school district to provide guidance services at actual cost.

1955 (3) Legislation should be adopted authorizing the county superintendent of schools, with approval of the county board, to provide health services to elementary school districts which had less than 900 ADA during the previous fiscal year as well as to high school districts which had less than 300 ADA, and to contract with other districts to provide health services at actual cost of such services. A study should be initiated to define the health services that should be rendered by county departments of health and by educational agencies.

1955 (3) The Legislature should authorize the county superintendent, with the approval of the county board, to employ qualified personnel to supervise attendance in the portions of the county not under the jurisdiction of any city supervisor of attendance (i.e., small districts) and to transfer funds equal to the costs of the services from larger districts requiring supervision of attendance services.

1955 (3) Legislation should be adopted to provide in all instances in which a county superintendent provides county school library service, that a qualified librarian be employed and that uniform, minimum district participation in financing the library services be required. Major portion of expenditures required for operating the library services should be met by participating districts.

1955 (3) The county superintendent should be authorized to provide audio-visual services to those districts which by official action request to be served. Such districts should participate in the financial support of these services, although county school service fund moneys should be allocated by the Superintendent of Public Instruction to those counties in which sparsity of population increases operational costs.

1955 (3) The Superintendent of Public Instruction should be authorized to adopt regulations that would define and specify the advisory services in school business administration that may be supported from the County School Service Fund.

1955 (3) The Legislature should provide specific authorization for the county superintendent of schools to provide for the publication of materials that are necessary in connection with the curricular and special services that the county superintendent of schools is authorized to perform in the county.

1964 (15) It appears to us reasonable to believe that some of the fiscal and quasi-legal responsibilities presently placed with county superintendents of schools can be transferred to various existing county government functions, such as the county auditors and the county counsels.

1964 (15) An intermediate level of educational administration in California is capable of performing a number of important functions that would otherwise be absent or only inadequately available: (1) providing certain services, facilities and equipment that meet needs common to all districts but would be underutilized or uneconomically provided by an individual district; (2) providing a logical focus for cooperative efforts among school districts within an area; (3) providing coordination among districts in the planning and implementation of educational development (4) serving as a key communication link between the State Department of Education on one hand and local districts on the other; (5) interpreting and enforcing statutory and regulatory requirements and assisting the Department of Education in formulating practicable rules and regulations.

1966 (7) Responsibility for approval of courses of study at all levels should be placed with the intermediate unit board of education.

1966 (7,12) Cooperative activities among intermediate units may make available services which could not be supported by a single unit and provide savings in dollars and personnel time. Cooperative activities should be administered as though the areas being served were a single unit. The responsibility for administration should rest with a single unit, while other involved units should perform policy making and facilitative roles.

1966 (7) It is recommended that the intermediate unit be a planning office, capable of identifying emerging and changing demands of our society; that the intermediate unit be developed as the quality control center for the state system, serving as the major renewal center for controlling obsolescence of personnel, material and equipment; that the intermediate unit be assigned the responsibility for coordinating the identification of problems needing research and the resources with which to attack the problems.

1971 (10) Regional offices (not to exceed fifteen in number) would be assigned all necessary functions presently performed by county offices: legal services and interpretation of the State Education Code; coordination of curriculum, research and development; development and coordination of special education programs and special schools; development and coordination of special education programs and special schools; development and coordination of regional data processing services; central purchasing on a regional basis where more economical; consultant services in personnel and business management; instructional television; regional centers for occupational information, with information gathering and dissemination capabilities; and most of the current functions of the State Department of Education which are necessary for smooth and coordinated operation of public education in California. All services should be provided on the basis of district needs without regard to population density.

1971 (13) The Legislature should rescind the authority of the county superintendent to provide direct services of supervision of instruction, attendance and health and guidance services to small districts without charge.

1971 (13) The authority of the county superintendent to develop courses of study and instructional materials, to provide audio-visual and library services, teacher institutes and inservice training for local districts without charge should be rescinded.

1971 (13) The regional education agency would perform administrative and credentialing functions for the State Department of Education and administrative functions presently performed by the county superintendent of schools for school districts; in addition the authority to contract with local school districts and other educational and administrative agencies specified in the Education Code would be transferred to it by statute.

1971 (1) The intermediate unit should provide services to pupils where necessary, assist local districts in improving their operations and provide the general public with information about public education.

1971 (1) The intermediate unit should have broad authority to provide a wide range of specific services to its clientele.

Methods of Financing and Administering the Intermediate Unit

1954 (19) A study of services now rendered by county offices indicates clearly the desirability and necessity for continuance of the county school service fund.

1954 (19) State should provide autonomy to the county offices within the general framework of the law so that services can be developed in relation to local needs.

1955 (3) Continue present level of support for County School Service Fund for a four-year period while requirements for financial support are evaluated.

1955 (3) Districts needing services provided by the county superintendent may contract for such services and pay actual costs of services.

1955 (3) The Legislature should authorize the county board of education to review the annual budget of the county superintendent of schools before its submission to the county board of supervisors and require its approval by the county board of education before approval may be given it by the county board of supervisors.

1955 (3) The Legislature should authorize the county board of education to review the County School Service Fund budget of the county superintendent of schools prior to its submission to the Superintendent of Public Instruction and require its approval by the county board of education before it may be approved by the Superintendent of Public Instruction.

1955 (3) The Legislature should authorize the Superintendent of Public Instruction to require such reports as he deems advisable and in such form as he may prescribe of the expenditures of the county superintendent of schools and the county board of education from the general funds of the county.

1966 (7) It is recommended that a panel of experts from outside the county school office be employed to develop and recommend a formula for distribution of county school service funds and that such a formula be enacted into law.

1966 (7) It is recommended that there be no penalty for carrying over a reasonable amount, not to exceed twenty percent, of the service fund budget in the year-end balance of the county school service fund budget.

1966 (7) It is recommended that the intermediate unit governing board be continued as an elective board, have full authority for budget approval, possess fiscal independence, have the authority to appoint the superintendent and set his salary.

1971 (10) Regional offices would be financed by the state.

1971 (10) Regional offices would have regional advisory boards of not more than ten members made up of elected school board members, with one or more representatives from each county, to be elected by the trustees of each county.

1971 (13) The local school district governing board should elect members of the county board from among its own members.

1971 (13) The county board should be made fiscally independent by transferring by statute responsibilities currently held by the county board of supervisors to the county board of education.

1971 (13) The county board of education should be granted the authority to approve the county school service fund budget before its submission to the Superintendent of Public Instruction.

1971 (13) Regional education districts should be governed by a board elected by the governing boards of the local school districts which comprise the region from among their own members.

1971 (13) The constitutional provision which calls for an elected county superintendent should be eliminated and the governing board of the regional education district should be given the authority to appoint the superintendent and determine his salary.

1971 (13) The Bureau of School Apportionments should develop a formula for distribution of state support based on actual costs for services the county superintendents are mandated to perform.

1971 (13) The Education Code should be changed to enable the county superintendent to carry a balance forward from the county school service fund (not to exceed five percent of current year's apportionment) to the next fiscal year.

1971 (13) The county school service fund budget revision process should be changed to require that budget revisions be reported and justified to the Bureau of School Apportionments at the end of the fiscal year rather than each time an expenditure is made which varies from a budget line item; to require that budget revisions be justified on a program basis rather than a line item basis; and to eliminate the Education Code provisions which penalize the county superintendent of schools when overexpending a budget line item.

1971 (13) Recommends a 6.5 million dollar reduction in state funding of the coordination services of the county superintendent financed by the county school service fund "other purposes" apportionment. Rescinds superintendents' authority to provide curriculum and business consultation to local districts without charge.

1971 (13) Recommends that services performed by regional districts for the State Department of Education be financed by the state and that services performed for local districts be financed with local funds.

1971 (1) The intermediate unit must have adequate funding from several sources related to the services provided.

1971 (1) The intermediate unit should be governed by a lay elected board with authority to appoint and evaluate all staff, determine services and raise required funds.